

# Role Description

## Senior Governance, Risk and Compliance Officer



Department of  
Primary Industries  
Rural Assistance Authority

Cluster/Agency	Regional NSW
Agency	Department of Regional NSW
Group/Division/Branch	DPI / Engagement and Industry Assistance / Rural Assistance Authority
Location	Orange
Classification/Grade/Band	Clerk Grade 9/10
ANZSCO Code	132411
PCAT Code	3119192
Date of Approval	October 2020
Agency Website	<a href="http://www.dpi.nsw.gov.au">www.dpi.nsw.gov.au</a>

### Agency overview

The Department of Regional NSW was formed in 2020 as a central agency for regional issues. The Department is responsible for building resilient regional economies and communities, strengthening primary industries, managing the use of regional land, overseeing the state's mineral and mining resources and ensuring government investment in regional NSW is fair and delivers positive outcomes for local communities and businesses.

The NSW Department of Primary Industries (NSW DPI) supports the development of profitable primary industries that create a more prosperous NSW and contributes to a better environment through the sustainable use of natural resources.

DPI Engagement and Industry Assistance Branch is focused on delivering programs that build stronger primary industries by providing critical rural support and enhance DPI's connection with communities, industries and people. This branch is made up of DPI's key engagement arms including the business resilience, the Rural Assistance Authority, emergency operations, international engagement, communications and stakeholder engagement.

### Primary purpose of the role

The Senior Governance and Risk Compliance Officer develops, maintains and implements the Authority's governance, risk management and assurance frameworks and coordinates the delivery of farm debt mediation.

### Key accountabilities

- In consultation with the management team, develop and maintain the RAAs governance, risk management and assurance frameworks including coordinating internal audits, undertaking regular risk reviews with the management team, maintaining the risk control environment and providing risk reporting to the management team, DPI and DRNSW Senior Executive team, cluster and RAA Board.
- Provide content and prepare advice on risk and governance issues and information in response to requests from RAA, Board, Department and Minister via correspondence, briefs, reports and submissions.

- Maintain and report on the RAA Risk register in consultation with the management team and RAA Board.
- Monitor and report on the implementation of internal audit recommendations and compliance with statutory and contractual obligations.
- Build and maintain relationships with key stakeholders and provide risk and assurance advice and training to the RAA to inform decision making
- Lead and undertake timely, targeted and responsive compliance and assurance activities, intelligence gathering and risk control investigations to provide assurance that RAAs risks are effectively managed.
- Coordinate implementation of the internal audit plan and ensure the RAA Business Continuity Plan remains current.
- Administer the RAAs responsibilities under the *Farm Debt Mediation Act 1994* and maintain a panel of accredited farm debt mediators.

## Key challenges

- Keeping abreast of multiple pieces of legislation and government policy to ensure the RAA meets its statutory risk management and assurance responsibilities.
- Incorporating community expectations that our credit activities will meet the standards imposed on authorised deposit-taking institutions into the RAAs risk and control environment.
- Managing a diverse and challenging workload with many fixed deadlines whilst maintaining client confidentiality and being sensitive to the needs of clients involved in farm debt mediation

## Key relationships

Who	Why
<b>Internal</b>	
Manager	<ul style="list-style-type: none"> <li>• Seek guidance, take direction, provide updates and escalate issues</li> </ul>
Chief Audit Executive / Central risk team	<ul style="list-style-type: none"> <li>• Collaborate, ensure RAA meets Departmental and statutory audit and risk obligations</li> </ul>
Team	<ul style="list-style-type: none"> <li>• Support and collaborate with team members</li> </ul>
RAA Board and Management Team	<ul style="list-style-type: none"> <li>• Provide reports, facilitate risk reviews and workshops.</li> </ul>
RAA and DPI staff	<ul style="list-style-type: none"> <li>• Exchange information, discuss issues and coordinate work</li> </ul>
<b>External</b>	
Government agencies, clients and stakeholder groups	<ul style="list-style-type: none"> <li>• Develop strategic networks across government to identify and respond to emerging risk and governance issues, seek information, and develop informed advice</li> </ul>
Farm Debt Mediators	<ul style="list-style-type: none"> <li>• Maintain a panel of accredited competent farm debt mediators</li> </ul>
Rural Financial Counsellors	<ul style="list-style-type: none"> <li>• Inform on farm debt mediation processes and trends</li> </ul>
Financial institutions	<ul style="list-style-type: none"> <li>• Gather risk and control environment intelligence.</li> </ul>

## Role dimensions

### Decision making

- Determines and manages own work load and priorities
- Exercises discretion in the approach and content of information, advice and recommendations provided
- In consultation with the Manager and other officers, provide audit recommendations and compliance with statutory and contractual obligations.

### Reporting line

Manager, Policy and Governance

### Direct reports

Nil

### Budget/Expenditure

Nil

## Capabilities for the role


The [NSW public sector capability framework](#) describes the capabilities (knowledge, skills and abilities) needed to perform a role. There are four main groups of capabilities: personal attributes, relationships, results and business enablers, with a fifth people management group of capabilities for roles with managerial responsibilities. These groups, combined with capabilities drawn from occupation-specific capability sets where relevant, work together to provide an understanding of the capabilities needed for the role.


The capabilities are separated into **focus capabilities** and **complementary capabilities**.



### Focus capabilities

*Focus capabilities* are the capabilities considered the most important for effective performance of the role. These capabilities will be assessed at recruitment.

The focus capabilities for this role are shown below with a brief explanation of what each capability covers and the indicators describing the types of behaviours expected at each level.

FOCUS CAPABILITIES			
Capability group/sets	Capability name	Behavioural indicators	Level
 Personal Attributes	<b>Act with Integrity</b> Be ethical and professional, and uphold and promote the public sector values	<ul style="list-style-type: none"><li>• Represent the organisation in an honest, ethical and professional way and encourage others to do so</li><li>• Act professionally and support a culture of integrity</li><li>• Identify and explain ethical issues and set an example for others to follow</li></ul>	Adept

	<ul style="list-style-type: none"> <li>• Ensure that others are aware of and understand the legislation and policy framework within which they operate</li> <li>• Act to prevent and report misconduct and illegal and inappropriate behaviour</li> </ul>	
	<p><b>Communicate Effectively</b></p> <p>Communicate clearly, actively listen to others, and respond with understanding and respect</p>	<ul style="list-style-type: none"> <li>• Present with credibility, engage diverse audiences and test levels of understanding</li> <li>• Translate technical and complex information clearly and concisely for diverse audiences</li> <li>• Create opportunities for others to contribute to discussion and debate</li> <li>• Contribute to and promote information sharing across the organisation</li> <li>• Manage complex communications that involve understanding and responding to multiple and divergent viewpoints</li> <li>• Explore creative ways to engage diverse audiences and communicate information</li> <li>• Adjust style and approach to optimise outcomes</li> <li>• Write fluently and persuasively in plain English and in a range of styles and formats</li> </ul> <p>Advanced</p>
	<p><b>Commit to Customer Service</b></p> <p>Provide customer-focused services in line with public sector and organisational objectives</p>	<ul style="list-style-type: none"> <li>• Take responsibility for delivering high-quality customer-focused services</li> <li>• Design processes and policies based on the customer's point of view and needs</li> <li>• Understand and measure what is important to customers</li> <li>• Use data and information to monitor and improve customer service delivery</li> <li>• Find opportunities to cooperate with internal and external stakeholders to improve outcomes for customers</li> <li>• Maintain relationships with key customers in area of expertise</li> <li>• Connect and collaborate with relevant customers within the community</li> </ul> <p>Adept</p>
	<p><b>Influence and Negotiate</b></p> <p>Gain consensus and commitment from others, and resolve issues and conflicts</p>	<ul style="list-style-type: none"> <li>• Influence others with a fair and considered approach and present persuasive counter-arguments</li> <li>• Work towards mutually beneficial 'win-win' outcomes</li> <li>• Show sensitivity and understanding in resolving acute and complex conflicts and differences</li> <li>• Identify key stakeholders and gain their support in advance</li> <li>• Establish a clear negotiation position based on research, a firm grasp of key issues, likely</li> </ul> <p>Advanced</p>





		arguments, points of difference and areas for compromise	
		<ul style="list-style-type: none"> <li>Anticipate and minimise conflict within the organisation and with external stakeholders</li> </ul>	
	<b>Plan and Prioritise</b> Plan to achieve priority outcomes and respond flexibly to changing circumstances	<ul style="list-style-type: none"> <li>Consider the future aims and goals of the team, unit and organisation when prioritising own and others' work</li> <li>Initiate, prioritise, consult on and develop team and unit goals, strategies and plans</li> <li>Anticipate and assess the impact of changes, including government policy and economic conditions, on team and unit objectives and initiate appropriate responses</li> <li>Ensure current work plans and activities support and are consistent with organisational change initiatives</li> <li>Evaluate outcomes and adjust future plans accordingly</li> </ul>	Adept
	<b>Demonstrate Accountability</b> Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	<ul style="list-style-type: none"> <li>Assess work outcomes and identify and share learnings to inform future actions</li> <li>Ensure that own actions and those of others are focused on achieving organisational outcomes</li> <li>Exercise delegations responsibly</li> <li>Understand and apply high standards of financial probity with public monies and other resources</li> <li>Identify and implement safe work practices, taking a systematic risk management approach to ensure own and others' health and safety</li> <li>Conduct and report on quality control audits</li> <li>Identify risks to successfully achieving goals, and take appropriate steps to mitigate those risks</li> </ul>	Adept
	<b>Project Management</b> Understand and apply effective planning, coordination and control methods	<ul style="list-style-type: none"> <li>Understand all components of the project management process, including the need to consider change management to realise business benefits</li> <li>Prepare clear project proposals and accurate estimates of required costs and resources</li> <li>Establish performance outcomes and measures for key project goals, and define monitoring, reporting and communication requirements</li> <li>Identify and evaluate risks associated with the project and develop mitigation strategies</li> <li>Identify and consult stakeholders to inform the project strategy</li> <li>Communicate the project's objectives and its expected benefits</li> </ul>	Adept

- Monitor the completion of project milestones against goals and take necessary action
- Evaluate progress and identify improvements to inform future projects

## Complementary capabilities

*Complementary capabilities* are also identified from the Capability Framework and relevant occupation-specific capability sets. They are important to identifying performance required for the role and development opportunities.

Note: capabilities listed as 'not essential' for this role are not relevant for recruitment purposes however may be relevant for future career development.

COMPLEMENTARY CAPABILITIES			
Capability group/sets	Capability name	Description	Level
 Personal Attributes	Display Resilience and Courage	Be open and honest, prepared to express your views, and willing to accept and commit to change	Intermediate
	Manage Self	Show drive and motivation, an ability to self-reflect and a commitment to learning	Adept
	Value Diversity and Inclusion	Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives	Intermediate
 Relationships	Work Collaboratively	Collaborate with others and value their contribution	Adept
 Results	Deliver Results	Achieve results through the efficient use of resources and a commitment to quality outcomes	Adept
	Think and Solve Problems	Think, analyse and consider the broader context to develop practical solutions	Adept
 Business Enablers	Finance	Understand and apply financial processes to achieve value for money and minimise financial risk	Intermediate
	Technology	Understand and use available technologies to maximise efficiencies and effectiveness	Intermediate
	Procurement and Contract Management	Understand and apply procurement processes to ensure effective purchasing and contract performance	Intermediate