Role Description

**Senior Compliance Auditor**

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| Portfolio | Primary Industries and Regional Development |
| Department | Department of Primary Industries and Regional Development |
| Division/Branch/Unit | NSW Resources / NSW Resources Regulator |
| Classification/Grade/Band | Clerk grade 9/10 |
| ANZSCO Code | 221213 |
| PCAT Code | 1129192 |
| Date of Approval | January 2023 (updated August 2024) |
| Agency Website | [www.dpird.nsw.gov.au](http://www.dpird.nsw.gov.au) |

#  Agency overview

The Department of Primary Industries and Regional Development (DPIRD) is the department dedicated to growing primary industries and supporting regional economic development to deliver long term benefits to the state. Our focus is to protect, support and develop our primary industries, mining sector, and regions.

DPIRD brings together Agriculture; Biosecurity; Forestry and Fishing; Local Land Services; NSW Resources; Regional Development and Delivery; the Regional Growth NSW Development Corporation; NSW Public Works and Soil Conservation Service.

We have nearly 5,000 employees, with almost 80 per cent of us living and working in regional NSW.

NSW Resources sets strategic policy for the state’s mineral and energy resources, gathers, analyses and disseminates geoscientific information, and assesses and determines applications for mineral and petroleum titles for exploration activities and extractive uses.

NSW Resources is committed to delivering strong and quality outcomes, with the vision of our minerals and petroleum resources generating prosperity for the people of NSW.

# Primary purpose of the role

The Senior Compliance Auditor undertakes audits of authorisations, including mining leases and explorations licenses, to assess compliance with the *Mining Act 1992*.

# Key accountabilities

* Implement and support the Mining Act Inspectorate compliance audit program
* Ensure compliance with Government regulations and agency policies through conducting compliance audits of facilities and/or operations.
* Analyse data and prepare technical reports based on audit evidence to identify deficiencies in controls and lack of compliance with Government regulations within an established framework.
* Conduct audits in a consistent manner with all information and observations collected during the compliance audit correctly and systematically recorded.
* Contribute to a cohesive team environment by maintaining a co-operative and professional working relationship with other team members.
* Gather data, conduct research, analyse trends and provide advice on emerging issues to senior management developing options for response.
* Build and maintain relationships with other government agencies, industry and community groups and participate in a combination of targeted environmental campaigns, workshops, working groups or committees, industry forums, government and community meetings.
* Mentor other compliance staff on audit processes and procedures to optimise regulatory outcomes.

# Key challenges

* Undertaking compliance activities in an effective, efficient and impartial manner, given the high volume, sensitive and regulatory nature of the work.
* Maintaining the Department’s credibility as an impartial regulator by interpreting and providing advice with regard to the correct application of legislation, policy and procedure, while also promoting exploration and mining industries and participants.

# Key relationships

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| **Who Why** |
| **Internal** |
|  Manager Compliance | * Consult, support, receive direction, provide updates and advice
* Escalate and assist to resolve difficult or complex issues
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|  Principal Compliance Auditor | * Provide guidance and direction on undertaking audits
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Stakeholders  Develop and maintain effective relationships and open channels of communication

* + Exchange information and respond to enquiries

**External**

Other Government Departments  Share information and coordinate activities

Stakeholder Groups  Exchange information, provide support and information, negotiate, take compliance and enforcement action under delegation

# Role dimensions

## Decision making

Makes day to day decisions on own work and projects and negotiates deadlines for changing priorities. Exercises the statutory functions and powers of the *Mining Act 1992*, the *Petroleum (Onshore) Act 1991*, and Work Health Safety legislation as delegated. Be guided in decision making by legislation, Australian and International Standards and Government and Departmental guidelines. Where issues are complex and/or may have sensitive or other organisation wide implications, the Manager is consulted.

## Reporting line

The role reports to the Manager Compliance.

## Direct reports

Nil

## Budget/Expenditure

Nil

# Key knowledge and experience

* Strong knowledge and understanding of the principles, practices, and techniques of auditing preferably in Government regulation in mining, petroleum, or a natural resource or environmental management context.
* Strong knowledge of the techniques, tests, and sampling methods involved in conducting audits.

# Essential requirements

* Hold and maintain a current Class C driver licence.
* Compliance with the Resources Regulator Integrity Clearance policy is **mandatory**, and a **condition of engagement** for staff engaged after 3 December 2019.
* Compliance with the Resources Regulator Pecuniary Interests in the Regulated Sector policy is mandatory.
* Ability to travel within NSW at short notice.
* Appointment and ongoing assignment is subject to the satisfactory participation in ongoing health screening.
* Degree qualifications relevant to the *Mining Act 1992,* in environmental or natural resources management (or qualifications/experience deemed by the Department to be equivalent)
* Eligibility for certification as an auditor with a relevant accreditation body.
* Compliance with pre-employment probity screening is mandatory and a condition of engagement.

## Capabilities for the role

The [NSW public sector capability framework](https://www.psc.nsw.gov.au/workforce-management/capability-framework/the-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

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| **Capability group/sets** | **Capability name** | **Behavioural indicators** | **Level** |
|  | **Act with Integrity**Be ethical and professional, and uphold and promote the public sector values | * Represent the organisation in an honest, ethical and professional way and encourage others to do so
* Act professionally and support a culture of

integrity* Identify and explain ethical issues and set an example for others to follow
* Ensure that others are aware of and understand the legislation and policy framework within which they operate
* Act to prevent and report misconduct and

illegal and inappropriate behaviour | Adept |
|  | **Communicate Effectively** Communicate clearly, actively listen to others, and respond with understanding and respect | * Tailor communication to diverse audiences
* Clearly explain complex concepts and arguments to individuals and groups
* Create opportunities for others to be heard, listen attentively and encourage them to express their views
* Share information across teams and units to

enable informed decision making* Write fluently in plain English and in a range of styles and formats
* Use contemporary communication channels to share information, engage and interact with

diverse audiences | Adept |
|  | **Commit to Customer Service**Provide customer-focused services in line with public sector and organisational objectives | * Take responsibility for delivering high-quality customer-focused services
* Design processes and policies based on the customer’s point of view and needs
* Understand and measure what is important to customers
* Use data and information to monitor and improve customer service delivery
* Find opportunities to cooperate with internal and external stakeholders to improve outcomes for customers
* Maintain relationships with key customers in

area of expertise* Connect and collaborate with relevant

 customers within the community  | Adept |

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|  | **Work Collaboratively** Collaborate with others and value their contribution | * Encourage a culture that recognises the value of collaboration
* Build cooperation and overcome barriers to information sharing and communication across teams and units
* Share lessons learned across teams and units
* Identify opportunities to leverage the strengths of others to solve issues and develop better processes and approaches to work
* Actively use collaboration tools, including

digital technologies, to engage diverse audiences in solving problems and improvingservices | Adept |
|  | **Think and Solve Problems** Think, analyse and consider the broader context to develop practical solutions | * Research and apply critical-thinking techniques in analysing information, identify interrelationships and make recommendations based on relevant evidence
* Anticipate, identify and address issues and potential problems that may have an impact on organisational objectives and the user experience
* Apply creative-thinking techniques to generate new ideas and options to address issues and improve the user experience
* Seek contributions and ideas from people with

diverse backgrounds and experience* Participate in and contribute to team or unit initiatives to resolve common issues or barriers to effectiveness
* Identify and share business process

improvements to enhance effectiveness | Adept |
|  | **Demonstrate Accountability** Be proactive andresponsible for own actions, and adhere to legislation, policy and guidelines | * Assess work outcomes and identify and share learnings to inform future actions
* Ensure that own actions and those of others are focused on achieving organisational outcomes
* Exercise delegations responsibly
* Understand and apply high standards of financial probity with public monies and other resources
* Identify and implement safe work practices,

taking a systematic risk management approach to ensure own and others’ health and safety* Conduct and report on quality control audits
* Identify risks to successfully achieving goals, and take appropriate steps to mitigate those

 risks  | Adept |

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|  | **Project Management** Understand and apply effective planning, coordination and control methods | * Understand all components of the project management process, including the need to consider change management to realise business benefits
* Prepare clear project proposals and accurate estimates of required costs and resources
* Establish performance outcomes and measures for key project goals, and define monitoring, reporting and communication requirements
* Identify and evaluate risks associated with the project and develop mitigation strategies
* Identify and consult stakeholders to inform the project strategy
* Communicate the project’s objectives and its expected benefits
* Monitor the completion of project milestones against goals and take necessary action
* Evaluate progress and identify improvements

 to inform future projects  | Adept |

**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.

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| **Capability group/sets** | **Capability name** | **Description** | **Level** |
|  | Display Resilience and Courage | Be open and honest, prepared to express your views, and willing to accept and commit to change | Adept |
|  | 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 |
|  | Influence and Negotiate | Gain consensus and commitment from others, and resolve issues and conflicts | Intermediate |
|  | Deliver Results | Achieve results through the efficient use of resources and a commitment to quality outcomes | Intermediate |
|  | Plan and Prioritise | Plan to achieve priority outcomes and respond flexibly to changing circumstances | Adept |
|  | 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 |

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|  | Procurement and Contract Management | Understand and apply procurement processes to ensure effective purchasing and contract performance | Intermediate |