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| **Cluster** | Regional NSW |
| **Agency** | Department of Regional NSW |
| **Division/Branch/Unit** | Strategy, Corporate and Performance, Legal & Governance | Governance I Audit & Risk |
| **Role number** | Generic |
| **Location** | Sydney/Armidale/Coffs Harbour/Dubbo/Queanbeyan/Orange  |
| **Classification/Grade/Band** | Clerk Grade 11/12 |
| **ANZSCO Code** | 234311 |
| **PCAT Code** | 1119192 |
| **Date of Approval** | September 2020 |
| **Agency Website** | [https://www.nsw.gov.au/regional-nsw](http://www.dpie.nsw.gov.au)  |

Agency overview

The Regional NSW Cluster was formed in April 2020. Regional NSW focus is to build strong and resilient regional communities and economies, strengthen primary industries, manage the use of valuable regional land, oversee the state’s mineral and mining resources and ensure that government investment into regional NSW is fair and delivers positive outcomes for regional communities and businesses.

Primary purpose of the role

Lead a team in undertaking internal and external audit activities and investigates alleged fraudulent or corrupt behavior, to address risk, promote good governance and accountability. The Manager Audit works with the Chief Audit Executive (CAE) to provide assurance that financial and operational controls are designed and operating in an efficient, effective and ethical manner to manage risk. The role also assists in the development, communication, implementation, review and evaluation of strategies, policies, guidelines and procedures for: fraud and corruption control and investigation; management of allegations of misconduct; formal complaints; and Public Interest Disclosures.

Key accountabilities

* Lead and manage a team to conduct and complete audit’s as per the Plan in an independent and professional manner, preparing clear and concise audit reports that add value to the business.
* Provide independent audit and assurance as to the effectiveness of risk management, internal controls and governance processes.
* Lead and facilitate stakeholder engagement, consultation and negotiation on audit issues to identify and develop solutions and make recommendations that account for relevant factors and support sound audit decisions and approaches.
* Lead and facilitate requests and engagements undertaken by The Audit Office including the management of responses arising from published reports / Management Letters.
* Provide expert advice and information to inform relevant stakeholders to enable informed decision making on critical issues arising from audits, including supporting the Chief Audit Executive in providing assurance services to senior executives and to the Audit and Risk Committee.
* Conduct or facilitate confidential investigations into, targeted and responsive compliance and audit activities, intelligence gathering and process control investigations.
* Deliver fraud and corruption training programs to Group Executives, Managers and staff designed to build awareness of fraud and corruption prevention, detection and response.
* Assist in the development of the Three-year and Annual Audit Plans and contribute to Group / Division Audit reporting for the, Director Audit & Investigations, Secretary, Group Executive and Audit & Risk Committee.

Key challenges

* Managing negotiations with diverse stakeholders across a complex geographically dispersed Department, given that matters are underpinned by multiple pieces of legislation while ensuring recommendations and decisions are correct, legally defensible and deliver fair outcomes.
* Understanding the complexities of the Department and the functions and risks of the entities to inform decision making and development of the Internal Audit Plan and workforce planning
* Providing accurate advice and recommendations on a range of complex ethical matters, including fraud and corruption allegations to ensure consistent and high-level advice across all areas of the Agency

Key relationships

| Who |  Why |
| --- | --- |
| **Internal** |  |
| Director Audit & Risk | * Identify emerging issues/risks and their implications and propose solutions.
* Provide expert advice and contribute to decision making.
* Receive advice and report on progress towards business objectives and discuss future directions.
* Support the Audit and Risk Committee process.
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| Direct Reports  | * Lead, direct, manage and support performance and development.
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| Regional NSW staff and stakeholders  | * Optimise engagement to achieve defined outcomes.
* Provide expert advice on a range of audit issues and strategies.
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| **External** |  |
| Stakeholders | * Optimise engagement to achieve defined outcomes.
* Consult and negotiate on key audit issues.
* Provide expert advice on a range of audit issues and strategies
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| NSW central agencies | * Liaise with and facilitate NSW Audit Office audits and action tracking
* DPIE Internal Audit for audit of services provided under SLA to Regional
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| External Vendors/Service Providers and Consultants | * Manage external providers (e.g. auditors, etc.) to ensure optimised return on investment for the Department and cluster entities
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# Role dimensions

## Decision making

* The role is expected to operate with reasonable autonomy and independence, makes day to day decisions relating to work priorities and workload management, for themselves and any direct reports.
* Negotiates matters related to area of responsibility and makes decisions about the quality of work performed and approaches for how to achieve business outcomes.
* Accountable for the high quality, integrity and accuracy of content of advice provided
* Makes decisions and acts within Departmental core values, strategic plans and priorities, legislative and regulatory frameworks, delegations, and policy and procedural frameworks and guidelines.
* Accountable for the effective management and use of human, financial and other resources within set budget and resource parameters acting within delegations
* Makes decisions and acts within Government sector core values, strategic plans and priorities, legislative and regulatory frameworks, delegations, and Department policy and procedural frameworks and guidelines
* Is accountable and responsible for the effective management and use of human, financial and other resources within set budget and resource parameters

## Reporting line

Director Audit & Risk

**Direct reports**

Up to three direct reports

## Budget/Expenditure

TBC

Key knowledge and experience

* Knowledge and experience working within the Institute of Internal Auditors, Internal Professional Practices Framework, NSW Treasurer’s Circulars and Policies TPP 15-03 and TPP 16-02, and other relevant policies and guidelines
* Experience in the management and coordination of serious workplace investigations and understanding of legislative and procedural fairness requirements.

Essential requirements

* Tertiary qualification in a relevant discipline and/or extensive relevant work experience, preferable
* Membership with the Institute of Internal Auditors (IIA) and/or Information Systems Audit & Control Association (ISACA) and/or CA/CPA qualifications

# 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 | Model the highest standards of ethical and professional behaviour and reinforce their useRepresent the organisation in an honest, ethical and professional way and set an example for others to followPromote a culture of integrity and professionalism within the organisation and in dealings external to governmentMonitor ethical practices, standards and systems and reinforce their useAct promptly on reported breaches of legislation, policies and guidelines | Advanced |
|  | **Display Resilience and Courage** Be open and honest, prepared to express your views, and willing to accept and commit to change  | * Remain composed and calm and act constructively in highly pressured and unpredictable environments
* Give frank, honest advice in response to strong contrary views
* Accept criticism of own ideas and respond in a thoughtful and considered way
* Welcome new challenges and persist in raising and working through novel and difficult issues
* Develop effective strategies and show decisiveness in dealing with emotionally charged situations and difficult or controversial issues
 | Advanced |
|  | **Communicate Effectively**Communicate clearly, actively listen to others, and respond with understanding and respect | Present with credibility, engage diverse audiences and test levels of understandingTranslate technical and complex information clearly and concisely for diverse audiencesCreate opportunities for others to contribute to discussion and debateContribute to and promote information sharing across the organisationManage complex communications that involve understanding and responding to multiple and divergent viewpointsExplore creative ways to engage diverse audiences and communicate informationAdjust style and approach to optimise outcomesWrite fluently and persuasively in plain English and in a range of styles and formats | Advanced |
| **Influence and Negotiate**Gain consensus and commitment from others, and resolve issues and conflicts | * Negotiate from an informed and credible position
* Lead and facilitate productive discussions with staff and stakeholders
* Encourage others to talk, share and debate ideas to achieve a consensus
* Recognise diverse perspectives and the need for compromise in negotiating mutually agreed outcomes
* Influence others with a fair and considered approach and sound arguments
* Show sensitivity and understanding in resolving conflicts and differences
* Manage challenging relationships with internal and external stakeholders
* Anticipate and minimise conflict
 | Adept |
|  | **Deliver Results** Achieve results through the efficient use of resources and a commitment to quality outcomes  | * Use own and others’ expertise to achieve outcomes, and take responsibility for delivering intended outcomes
* Make sure staff understand expected goals and acknowledge staff success in achieving these
* Identify resource needs and ensure goals are achieved within set budgets and deadlines
* Use business data to evaluate outcomes and inform continuous improvement
* Identify priorities that need to change and ensure the allocation of resources meets new business needs
* Ensure that the financial implications of changed priorities are explicit and budgeted for
 | Adept |
|  | **Think and Solve Problems**Think, analyse and consider the broader context to develop practical solutions | Undertake objective, critical analysis to draw accurate conclusions that recognise and manage contextual issuesWork through issues, weigh up alternatives and identify the most effective solutions in collaboration with othersTake account of the wider business context when considering options to resolve issuesExplore a range of possibilities and creative alternatives to contribute to system, process and business improvementsImplement systems and processes that are underpinned by high-quality research and analysisLook for opportunities to design innovative solutions to meet user needs and service demands* Evaluate the performance and effectiveness of services, policies and programs against clear criteria
 | Advanced |
|  | **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 benefitsPrepare clear project proposals and accurate estimates of required costs and resourcesEstablish performance outcomes and measures for key project goals, and define monitoring, reporting and communication requirementsIdentify and evaluate risks associated with the project and develop mitigation strategiesIdentify and consult stakeholders to inform the project strategyCommunicate the project’s objectives and its expected benefitsMonitor the completion of project milestones against goals and take necessary actionEvaluate progress and identify improvements to inform future projects | Adept |
|  | **Manage and Develop People** Engage and motivate staff, and develop capability and potential in others  | * Define and clearly communicate roles, responsibilities and performance standards to achieve team outcomes
* Adjust performance development processes to meet the diverse abilities and needs of individuals and teams
* Develop work plans that consider capability, strengths and opportunities for development
* Be aware of the influences of bias when managing team members
* Seek feedback on own management capabilities and develop strategies to address any gaps
* Address and resolve team and individual performance issues, including unsatisfactory performance, in a timely and effective way
* Monitor and report on team performance in line with established performance development frameworks
 | Adept |
| **Manage Reform and Change**Support, promote and champion change, and assist others to engage with change | Clarify the purpose and benefits of continuous improvement for staff and provide coaching and leadership in times of uncertaintyAssist others to address emerging challenges and risks and generate support for change initiativesTranslate change initiatives into practical strategies and explain these to staff, and their role in implementing themImplement structured change management processes to identify and develop responses to cultural barriers | Advanced |

# 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**  |
|  | 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  | Adept  |
|  | Commit to Customer Service  | Provide customer-focused services in line with public sector and organisational objectives  | Adept  |
| Work Collaboratively  | Collaborate with others and value their contribution  | Adept  |
|  | Plan and Prioritise  | Plan to achieve priority outcomes and respond flexibly to changing circumstances  | Adept  |
| Demonstrate Accountability  | Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines  | 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  |
| Procurement and Contract Management  | Understand and apply procurement processes to ensure effective purchasing and contract performance  | Intermediate  |
|  | Inspire Direction and Purpose  | Communicate goals, priorities and vision, and recognise achievements  | Intermediate  |
| Optimise Business Outcomes  | Manage people and resources effectively to achieve public value  | Adept  |
| Manage Reform and Change  | Support, promote and champion change, and assist others to engage with change  | Intermediate  |