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| **Cluster** | Regional NSW |
| **Agency** | Department of Regional NSW |
| **Division/Branch/Unit** | Legal & Governance | Governance I Audit & Risk |
| **Role number** | Generic |
| **Location** | Sydney/Armidale/Coffs Harbour/Dubbo/Queanbeyan/Orange |
| **Classification/Grade/Band** | Clerk Grade 9/10 |
| **ANZSCO Code** | 224712 |
| **PCAT Code** | 3221292 |
| **Date of Approval** | September 2022 |
| **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

The Senior Audit Officer provides support to the Manager Audit and Risk and coordinates and conducts assigned internal audits and special, supports ethical policies across the Department and the mitigation of fraud and corruption by means of detection, prevention, early intervention, data analysis and targeted investigations.

Key accountabilities

* Conduct internal audits and specified audit projects, ensuring that they are completed within the required timeframes and meet professional and quality standards and supporting the development and maintenance of the risk based internal audit work plan and delivery strategies.
* Provide timely, high level advice to Audit Management on the effectiveness of internal controls, business processes, risk management and governance arrangements and make practical value-adding recommendations to support continuous improvement.
* Apply appropriate data analytical and modelling tools and techniques in the evaluation and assessment of risks and controls.
* Develop and maintain effective working relationships with internal clients and relevant external agencies to facilitate an effective audit process.
* Coordinate and undertake the follow up and tracking of implementation of internal and external audit recommendations and produce periodic reports for management and the Audit and Risk Committee.
* Draft investigation plans, contributing to prevention strategies, delegate briefings and final reports outlining recommendations to improve governance arrangements across the Departments.
* Proactively communicate with delegates of investigations, reporters and relevant employees to clearly articulate processes and responsibilities relating to each matter; manage expectations; and advise on any required changes to the process as it progresses.

Key challenges

* Applying innovative and contemporary audit techniques and services that demonstrate the highest levels of probity and accountability whilst remaining agile and sufficiently responsive to achieving delivery timeframes and quality standards.
* Operating in a high-volume, diverse and complex business environment whilst exercising flexibility in managing changing workloads and displaying diplomacy and discretion.
* Influencing third parties to retrieve data required for investigations within statutory deadlines to assist with the timely delivery of recommendations to inform decision making.

Key relationships

| Who | Why |
| --- | --- |
| **Internal** |  |
| Director Audit and Risk | * Seek and receive guidance to assist with decision making that contributes to internal Audit planning and the delivery of the internal audit plan and key associated projects. |
| Manager/Supervisor | * Provide support to the Internal Audit planning process and delivery of the internal audit plan. * Identify emerging issues/risks and their implications and propose solutions. * Receive guidance and provide regular updates on key project issues and priorities. * Support the Audit and Risk Committee process. |
| Stakeholders | * Provide expert advice on internal audit processes, governance, risk and control issues to management and auditees * Work with business unit management and internal corporate service providers to develop scopes of work, deliver audits and contribute to the development and acceptance of value adding recommendations and management actions. * Provide and receive updates and information to/from business units * Respond to requests for assistance and reports of wrongdoing |
| **External** |  |
| NSW central agencies | * Provide advice, guidance and support in response to requests from third parties such as other Internal Audit groups and the NSW Audit Office. |
| Vendors/Service Providers and Consultants | * Coordinate and provide advice and support for the work of internal audit service providers. * Review the work of third parties to ensure quality standards are met. |

# Role dimensions

## Decision making

* The role is expected to operate with some level of autonomy and independence, makes day to day decisions relating to own work priorities and workload management.
* Makes decisions on the approaches for how to achieve business outcomes and is accountable for the quality of work performed and the integrity and accuracy of content of advice provided.Accountable for the high quality, integrity and accuracy of content of advice provided
* This role is responsible for identifying best practice governance standards to improve transparent ethical decision making and enhance existing corruption prevention measures.
* Seeks advice and clarification from team members and managers, as required.

## Reporting line

Manager Audit & Risk

## Direct reports

Nil

## Budget/Expenditure

Nil

Key knowledge and experience

* Demonstrated experience in undertaking internal audit engagements including preparing internal audit reports and documentation.
* Sound investigations background and experience

# 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 | | | | |
| --- | --- | --- | --- | --- |
| **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 use  Represent the organisation in an honest, ethical and professional way and set an example for others to follow  Promote a culture of integrity and professionalism within the organisation and in dealings external to government  Monitor ethical practices, standards and systems and reinforce their use  Act promptly on reported breaches of legislation, policies and guidelines | Advanced |
|  | **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 |
| **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 |
|  | **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 |
|  | **Technology**  Understand and use available technologies to maximise efficiencies and effectiveness | | Identify opportunities to use a broad range of technologies to collaborate  Monitor compliance with cyber security and the use of technology policies  Identify ways to maximise the value of available technology to achieve business strategies and outcomes  Monitor compliance with the organisation’s records, information and knowledge management requirements | Adept |
| **Project Management**  Understand and apply effective planning, coordination and control methods | | Perform basic research and analysis to inform and support the achievement of project deliverables  Contribute to developing project documentation and resource estimates  Contribute to reviews of progress, outcomes and future improvements  Identify and escalate possible variances from project plans | Intermediate |

# 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** |
|  | 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 | Intermediate |
| Value Diversity and Inclusion | | Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives | Intermediate |
|  | Commit to Customer Service | | Provide customer-focused services in line with public sector and organisational objectives | Intermediate |
| Work Collaboratively | | Collaborate with others and value their contribution | Intermediate |
|  | Deliver Results | | Achieve results through the efficient use of resources and a commitment to quality outcomes | Adept |
| Plan and Prioritise | | Plan to achieve priority outcomes and respond flexibly to changing circumstances | Intermediate |
| Demonstrate Accountability | | Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | Intermediate |
|  | Finance | | Understand and apply financial processes to achieve value for money and minimise financial risk | Intermediate |
| Procurement and Contract Management | | Understand and apply procurement processes to ensure effective purchasing and contract performance | Intermediate |