Role Description
Principal Auditor

Role Description Fields	Details
Cluster	Education
Department/Agency	NSW Department of Education
Division/Branch/Unit	Operations Group/Audit
Role number	181503, 181504, 181505, 181506, 181507, 181508, 181521, 181523, 181533, 181534, 181535, 181537, 181539, and 181545
Classification/Grade/Band	Clerk Grade 9/10
Senior executive work level standards	Not Applicable
ANZSCO Code	221214
PCAT Code	3221292
Date of Approval	September 2022
Agency Website	http://www.education.nsw.gov.au/

Agency overview

The NSW Department of Education serves the community by providing world-class education for students of all ages.

We ensure young children get the best start in life by supporting and regulating the early childhood education sector. We are the largest provider of public education in Australia with responsibility for delivering high-quality public education to two-thirds of the NSW student population. We are committed to fostering vibrant, sustainable and high-performing vocational and higher education sectors.

We are responsible for enacting NSW Government policy, driving improvement in education, and overseeing policy, funding and compliance issues relating to non-government schools. We respect and value Aboriginal and Torres Strait Islander people as First Peoples of Australia.

Internal Audit supports the Department of Education to achieve its objectives, through providing appropriate risk-based assurance and advice.

Primary purpose of the role

Lead or conduct any audit or review of strategic and operational management systems, applications and programs for the department, state offices, schools and other business units.

Key accountabilities

- Lead or conduct any audit or review of strategic, operational and information technology management systems, applications or programs including but not limited to compliance, risk based, information technology or performance audits in all areas of the department.
- Lead and coordinate audits relating to suspected corrupt conduct (especially fraud), waste or maladministration.
- Advise on probity, risks, controls that will mitigate those risks, policies, procedures and formulation of advice on improvements to systems and procedures.
- Advise customers on controls to prevent and detect corrupt conduct and assist in the identification of opportunities to improve corruption prevention strategies.
- Develop, implement and promote compliance processes in conjunction with Audit Directorate quality assurance systems.
- Promote internal control to audit customers and other managers including the delivery of training and response to customer needs and priorities.
- Manage projects in a team environment and develop effective management review and customer service skills in staff.
- Represent the Audit Directorate at meetings and contribute to the identification and resolution of business unit issues.

Key challenges

- Ensuring strict confidentiality and probity in the processes involved in the conduct of the business of the Audit and Risk Committee, in conducting audits / investigations.
- Maintaining the integrity of the process and the accuracy of the data gathered.
- Providing advice to Senior Management in a timely manner when there are conflicting priorities to be addressed.

Key relationships

Internal

Who	Why
Audit Managers Senior Auditors	- The Principal Auditor has frequent contact with their line manager to provide strategic and operational advice about the internal control environment including audit findings and recommendations made to improve the system of internal control. - The Principal Auditor leads, manages and supervises the Senior Auditors with their internal auditing projects.
Executives School Principals Contractors	- The Principal Auditor provides strategic and operational advice to Directors, School Principals, corporate employees and contractors about the internal control environment in the department. - The Principal Auditor makes recommendations to the Directors, line managers and School Principals on improvements to business systems and processes which assist them to develop effective policies and guidelines.

External

Who	Why
NSW Audit Office	The Principal Auditor maintains professional relationships between the DoE Audit Directorate and the NSW Audit Office.

Role dimensions

Decision making

The Principal Auditor reviews, assesses and reports on management systems and processes to ensure the integrity of information, achievement of business objectives and outcomes and compliance with legislative requirements.

The Principal Auditor requires a high standard of ethical practice, judgement and negotiation skills, with advanced communication and interpersonal skills.

Reporting line

Audit Manager - Analytical Review – (181522, 181539 and 181543)

Audit Manager - Corporate 1 – (181521 and 181523)

Audit Manager – Corporate 2 – (181533, 181534, 181535 and 181537)

Audit Manager - Schools – (181504, 181505, 181506, 181507, 181508 and 181545)

Audit Manager - School Systems – (Nil).

Direct reports

Principal Auditor (Analytical Review)
- No. of staff reporting directly = 0

Principal Auditor (Corporate 1 - 181523)
- No. of staff reporting directly = 1 (1 x Clerk 7/8)
- No of staff reporting indirectly = 3 (3 x Clerk ¾)

Principal Auditor (Schools – 181504, 181505, 181506, 181507, 181508, 181545)
- No. of staff reporting directly = 1 (1 x Clerk 7/8 to each of the Clerk 9/10 above)
- Schools – (181514 reporting to 181504), (181510 and 181511 reporting to 181505), (181512 reporting to 181506), (181513 reporting to 181507), (181516 reporting to 181508) (181517 reporting to 181545).

Budget/Expenditure

$50,000

Key knowledge and experience

- Knowledge of and commitment to implementing the Department's Aboriginal Education Policy and upholding the Department's Partnership Agreement with the NSW AECG and to ensure quality outcomes for Aboriginal people.

Essential requirements

- Relevant tertiary qualifications in a relevant discipline, such as public administration, accounting, management, education; and/or equivalent workplace experience.
- Driver's Licence.
- Working with Children Check for paid employment
- Must be double vaccinated with an approved COVID-19 vaccine, or hold a valid medical contraindication

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.
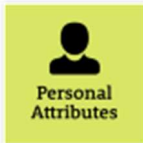
The capabilities are separated into focus capabilities and complementary capabilities

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

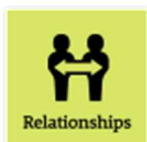| Capability group/sets	Capability name	Behavioural indicators	Level
Personal Attributes	**Display Resilience and Courage** Be open and honest, prepared to express your views, and willing to accept and commit to change	- Be flexible, show initiative and respond quickly when situations change - Give frank and honest feedback and advice - Listen when ideas are challenged, seek to understand the nature of the comment and respond appropriately - Raise and work through challenging issues and seek alternatives - Remain composed and calm under pressure and in challenging situations	Adept
Personal Attributes	**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
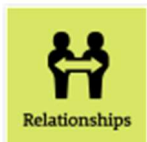
	Communicate Effectively Communicate clearly, actively listen to others, and respond with understanding and respect	• Present with credibility, engage diverse audiences and test levels of understanding • Translate technical and complex information clearly and concisely for diverse audiences • Create opportunities for others to contribute to discussion and debate • Contribute to and promote information sharing across the organisation • Manage complex communications that involve understanding and responding to multiple and divergent viewpoints • Explore creative ways to engage diverse audiences and communicate information • Adjust style and approach to optimise outcomes • Write 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	• 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
	Finance Understand and apply financial processes to achieve value for money and minimise financial risk	• Understand core financial terminology, policies and processes, and display knowledge of relevant recurrent and capital financial measures • Understand the impacts of funding allocations on business planning and budgets • Identify discrepancies or variances in financial and budget reports, and take corrective action • Know when to seek specialist advice and support and establish the relevant relationships • Make decisions and prepare business cases, paying due regard to financial considerations	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 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

NSW
GOVERNMENT

| | 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 |

Occupational Specific Focus Capabilities

Capability group/sets	Capability name	Behavioural indicators	Level
	Audit and Assurance Evaluate overall governance frameworks, financial and program information systems, and internal controls and practices to identify potential deficiencies or opportunities	• Identify and interpret sources of all auditing standards*, Audit Office guidelines, NSW Treasury policies and Internal Audit and Risk Management Policy statements, emerging practices and other related mandatory requirements • Establish documents and articulate annual audit plans and required audit process specifications for standard audits • Undertake complex audits and establish the scope, objectives and terms of reference of audit assignments • Report audit results in an appropriate form to relevant recipients, supported by high quality interpretation and support the incorporation of outcomes into organisational practice • Apply appropriate analytical and modelling tools in the evaluation and assessment of risk factors • Provide technical leadership and act as primary escalation point for internal or contract audit staff concerning more complex or unusual technical audit or compliance issues • Identify and monitor risks and exposures and provide recommendations required to actively mitigate these • * Audit Office guidelines, Auditing Standards and International Standards for the Professional Practice of Internal Auditing	Level 3

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.

Capability group/sets	Capability name	Description	Level
	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

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

NSW GOVERNMENT