

Role Description

Manager Digital and Data, Risk & Compliance



Customer
Service

Cluster	Customer Service
Agency	Department of Customer Service
Division/Branch/Unit	Customer, Delivery and Transformation/Revenue NSW /Revenue Digital
Classification/Grade/Band	Clerk Grade 11/12
ANZSCO Code	139999
PCAT Code	1221312
Date of Approval	October 2019

Primary purpose of the role

Responsible for leading the day to day management, monitoring and reporting on the risk and compliance of systems and processes that support Digital and Data, Governance and Management of IT, Information Systems Acquisition, Development and Implementation, in accordance with mandated standards and procedures. The role oversees the implementation of risk management practices and embedding a Digital and Data culture focussed on sound operational and compliance risk practices, and on positive customer and financial outcomes.

Key accountabilities

- Develop, implement and monitor reporting mechanisms for governance and risk practices to support compliance and highlight areas of exposure, minimising risk to the business services
- Review identified operational risks and breaches to ensure the organisation's assets and information are appropriately compliant at all times
- Monitor and review compliance with risk management strategies and practices to ensure Digital and Data related activities are meeting required standards
- Drive compliance with PCI DSS, ISO 27001 and other relevant information security standards, including managing the process for achieving and maintaining formal certification
- Provide expert advice on the implementation and application of business level Digital and Data controls to ensure that the risk of non-compliance is mitigated
- Identify opportunities to strengthen the Digital and Data control environments through control enhancement, integration and simplification
- Provide support, education and training to staff to build the risk awareness across the organisation
- Liaise with Internal Audit, Corporate compliance and Risk Management groups(s), Auditor General to coordinate Audits and also track and report new, current and outstanding issues

Key challenges

- Maintaining currency and applicability of subject matter knowledge and the links to legislative, legal and statutory changes relating to digital and data management given a high volume work environment with competing priorities

- Ensuring information privacy and confidentiality responsibilities and obligations are understood and met across a complex customer environment

Key relationships

Who	Why
Internal	
Manager	<ul style="list-style-type: none"> • Escalate issues, keep informed, advise and receive instructions • Report on compliance metrics • Provide recommendations and inform through reporting any sensitive and emerging issues
Work Team	<ul style="list-style-type: none"> • Guide, support, coach and mentor team members • Review the work and proposals of team members in the role's areas of specialisation and accountability • Encourage team to work collaboratively to contribute to achieving the team's business outcomes • Collaborate across teams to achieve organisational strategies
Customer/Stakeholders	<ul style="list-style-type: none"> • Resolve and provide solutions to issues • Create awareness of policies and standards associated with risk and compliance and how they are applied in the organisation
Internal Partners	<ul style="list-style-type: none"> • Undertake assessments of compliance with risk and digital, data governance practices • Corporate Risk Management – to identify and integrate the operational and ICT risk framework with the corporate risk framework
External	
Auditors/Suppliers	<ul style="list-style-type: none"> • Undertake external audits and security reviews • External security threat assessments
Government Agencies	<ul style="list-style-type: none"> • Work with other agencies to share information and guidance

Role dimensions

Decision making

This role has autonomy and makes decisions that are under their direct control. It refers to the Executive Director decisions that require significant change to program outcomes or time frames or are likely to escalate or require submission to a higher level of management. This role is fully accountable for the delivery of work assignments on time and to expectations in terms of quality, deliverables and outcomes. This role submits reports, business cases and other forms of written advice with minimal input from the Executive Director.

Reporting line

Executive Director

Direct reports

Up to 5 direct reports

Budget/Expenditure

As per the Customer Service Delegations

Essential requirements

Nil






Capabilities for the role

The NSW Public Sector Capability Framework applies to all NSW public sector employees. The Capability Framework is available at www.psc.nsw.gov.au/capabilityframework


This role also utilises an [occupation specific capability set](#).

Capability summary

Below is the full list of capabilities and the level required for this role. The capabilities in bold are the focus capabilities for this role. Refer to the next section for further information about the focus capabilities.

NSW Public Sector Capability Framework		
Capability Group	Capability Name	Level
 Personal Attributes	Display Resilience and Courage	Advanced
	Act with Integrity	Advanced
	Manage Self	Adept
	Value Diversity	Adept
 Relationships	Communicate Effectively	Advanced
	Commit to Customer Service	Adept
	Work Collaboratively	Adept
	Influence and Negotiate	Adept
 Results	Deliver Results	Intermediate
	Plan and Prioritise	Adept
	Think and Solve Problems	Advanced
	Demonstrate Accountability	Advanced
 Business Enablers	Finance	Intermediate
	Technology	Advanced
	Procurement and Contract Management	Intermediate
	Project Management	Adept
 People Management	Manage and Develop People	Adept
	Inspire Direction and Purpose	Intermediate
	Optimise Business Outcomes	Adept
	Manage Reform and Change	Adept

Occupation / profession specific capabilities

Capability Set	Category and Sub-category	Level and Code
	Strategy & Architecture, Information Strategy, Information Assurance	Level 6 - INAS
	Strategy & Architecture, Information Strategy, Information Security	Level 6 – SCTY
	Strategy & Architecture, Business Strategy & Planning, Business Risk Management	Level 6 - BURM
	Strategy & Architecture, Technical Strategy & Planning, Continuity Management	Level 4 – COPL
	Skills & Quality, Quality and conformance, Conformance Review	Level 5 - CORE

Focus capabilities

The focus capabilities for the role are the capabilities in which occupants must demonstrate immediate competence. The behavioural indicators provide examples of the types of behaviours that would be expected at that level and should be reviewed in conjunction with the role's key accountabilities.

NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
Personal Attributes Display Resilience and Courage	Advanced	<ul style="list-style-type: none"> Stay calm and act constructively in highly pressured and unpredictable environments Give frank, honest advice in the face of 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, difficult and controversial issues
Relationships Communicate Effectively	Advanced	<ul style="list-style-type: none"> Present with credibility, engage varied audiences and test levels of understanding Translate technical and complex information concisely for diverse audiences Create opportunities for others to contribute to discussion and debate Actively listen and encourage others to contribute inputs Adjust style and approach to optimise outcomes Write fluently and persuasively in a range of styles and formats
Results Demonstrate Accountability	Advanced	<ul style="list-style-type: none"> Design and develop systems to establish and measure accountabilities Ensure accountabilities are exercised in line with government and business goals Exercise due diligence to ensure work health and safety risks are addressed Oversee quality assurance practices

NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
		<ul style="list-style-type: none"> Model the highest standards of financial probity, demonstrating respect for public monies and other resources Monitor and maintain business unit knowledge of and compliance with legislative and regulatory frameworks Incorporate sound risk management principles and strategies into business planning
Business Enablers Technology	Advanced	<ul style="list-style-type: none"> Show commitment to the use of existing and deployment of appropriate new technologies in the workplace Implement appropriate controls to ensure compliance with information and communications security and use policies Maintain a level of currency regarding emerging technologies and how they might be applied to support business outcomes Seek advice from appropriate technical experts to leverage information, communication and other technologies to achieve business outcomes Implement and monitor appropriate records, information and knowledge management systems protocols and policies
People Management Optimise Business Outcomes	Adept	<ul style="list-style-type: none"> Initiate and develop longer-term goals and plans to guide the work of the team in line with organisational objectives Allocate resources to ensure achievement of business outcomes and contribute to wider workforce planning Ensure that team members base their decisions on a sound understanding of business principles applied in a public sector context Monitor performance against standards and take timely corrective actions Keep others informed about progress and performance outcomes

Occupation specific capability set (Skills Framework for the Information Age – SFIA)

Category and Sub-category	Level and Code	Level Descriptions
Strategy & Architecture Information Strategy	Level 6 INAS	Information Assurance (INAS) - Develops corporate Information security policy, standards and guidelines. Prepares and maintains organisational strategies that address the evolving business risk and information control requirements. Operates as a focus for Information assurance governance expertise for the organisation, working effectively with strategic organisational functions such as legal experts and technical support to provide authoritative advice and guidance on the requirements for security controls. Ensures architectural principles are applied during design to reduce risk, and

Occupation specific capability set (Skills Framework for the Information Age – SFIA)

Category and Sub-category	Level and Code	Level Descriptions
		advances assurance standards through ensuring rigorous security testing.
Strategy & Architecture Information Strategy	Level 6 SCTY	Information Security (SCTY) - Provides leadership and guidelines on information assurance security expertise for the organisation, working effectively with strategic organisational functions such as legal experts and technical support to provide authoritative advice and guidance on the requirements for security controls. Provides for restoration of information systems by ensuring that protection, detection, and reaction capabilities are incorporated.
Strategy & Architecture Business Strategy & Planning	Level 6 BURM	Business Risk Management (BURM) - Plans and manages the implementation of organisation-wide processes and procedures, tools and techniques for the identification, assessment, and management of risk inherent in the operation of business processes and of potential risks arising from planned IT enabled change.
Strategy & Architecture Technical Strategy & Planning	Level 4 COPL	Continuity Management (COPL) - Implements and contributes to the development of a continuity management plan. Coordinates the assessment of risks to the availability, integrity and confidentiality of systems that support critical business processes. Coordinates the planning, designing, and testing of maintenance procedures and contingency plans.
Skills & Quality Quality and conformance	Level 5 CORE	Conformance Review (CORE) - plans formal reviews of activities, processes, products or services. Evaluates and independently appraises the internal control of processes, based on investigative evidence and assessments undertaken by self or team. Ensures that independent appraisals follow agreed procedure and advises others on the review process. Provides advice to management on ways of improving the effectiveness and efficiency of their control mechanisms. Identifies and evaluates associated risks and how they can be reduced.

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	<ul style="list-style-type: none"> • 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
 Relationships	Communicate Effectively Communicate clearly, actively listen to others, and respond with understanding and respect	<ul style="list-style-type: none"> • 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
 Results	Demonstrate Accountability Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	<ul style="list-style-type: none"> • Design and develop systems to establish and measure accountabilities • Ensure accountabilities are exercised in line with government and business goals • Exercise due diligence to ensure work health and safety risks are addressed • Oversee quality assurance practices 	Advanced

		<ul style="list-style-type: none"> • Model the highest standards of financial probity, demonstrating respect for public monies and other resources • Monitor and maintain business-unit knowledge of and compliance with legislative and regulatory frameworks • Incorporate sound risk management principles and strategies into business planning 	
	Technology Understand and use available technologies to maximise efficiencies and effectiveness	<ul style="list-style-type: none"> • Champion the use of innovative technologies in the workplace • Actively manage risk to ensure compliance with cyber security and acceptable use of technology policies • Keep up to date with emerging technologies and technology trends to understand how their application can support business outcomes • Seek advice from appropriate subject-matter experts on using technologies to achieve business strategies and outcomes • Actively manage risk of breaches to appropriate records, information and knowledge management systems, protocols and policies 	Advanced
	Optimise Business Outcomes Manage people and resources effectively to achieve public value	<ul style="list-style-type: none"> • Initiate and develop longer-term goals and plans to guide the work of the team in line with organisational objectives • Allocate resources to ensure the achievement of business outcomes and contribute to wider workforce planning • When planning resources, implement processes that encourage the attraction and retention of people of diverse cultures, backgrounds and experiences • Ensure that team members base their decisions on a sound understanding of business and risk management principles, applied in a public sector context • Monitor performance against standards and take timely corrective actions • Keep others informed about progress and performance outcomes 	Adept

Occupation specific capability set



Strategy & Architecture, Information Strategy, Information Assurance

The protection of integrity, availability, authenticity, non-repudiation and confidentiality of information and data in

- Develops corporate Information assurance policy, standards and guidelines.
- Contributes to the development of organisational strategies that address the evolving business risk and information control requirements.
- Drives adoption of and adherence to policies and standards through the provision of expert advice and guidance in order to ensure architectural

Level 6 - INAS





storage and in transit. The management of risk in a pragmatic and cost effective manner to ensure stakeholder confidence	<ul style="list-style-type: none"> principles are applied, requirements are defined and rigorous security testing is applied. Monitors environmental and market trends and pro-actively assesses impact on business strategies, benefits and risks 	
Strategy & Architecture, Information Strategy, Information Security The selection, design, justification, implementation and operation of controls and management strategies to maintain the security, confidentiality, integrity, availability, accountability and relevant compliance of information systems with legislation, regulation and relevant standards	<ul style="list-style-type: none"> Develops and communicates corporate information security policy, standards and guidelines. Contributes to the development of organisational strategies that address information control requirements. Identifies and monitors environmental and market trends and pro-actively assesses impact on business strategies, benefits and risks. Leads the provision of authoritative advice and guidance on the requirements for security controls in collaboration with experts in other functions such as legal, technical support. Ensures architectural principles are applied during design to reduce risk and drives adoption and adherence to policy, standards and guidelines 	Level 6 – SCTY
Strategy & Architecture, Business Strategy & Planning, Business Risk Management The planning and implementation of organisation-wide processes and procedures for the management of risk to the success or integrity of the business, especially those arising from the use of information technology, reduction or non-availability of energy supply or inappropriate disposal of materials, hardware or data	<ul style="list-style-type: none"> Plans and manages the implementation of organisation-wide processes and procedures, tools and techniques for the identification, assessment, and management of risk inherent in the operation of business processes and of potential risks arising from planned change 	Level 6 – BURM
Strategy & Architecture, Technical Strategy & Planning, Continuity Management The provision of service continuity planning and support, as part of, or in close cooperation with, the function which plans business continuity for the whole organisation. The identification	<ul style="list-style-type: none"> Implements and contributes to the development of a continuity management plan. Coordinates the assessment of risks to the availability, integrity and confidentiality of systems that support critical business processes. Coordinates the planning, designing, and testing of maintenance procedures and contingency plans. 	Level 4 – COPL

of information systems which support critical business processes. The assessment of risks to critical systems' availability, integrity and confidentiality. The co-ordination of planning, designing, testing and maintenance procedures and contingency plans to address exposures and maintain agreed levels of continuity


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	Act with Integrity	Be ethical and professional, and uphold and promote the public sector values	Advanced
	Manage Self	Show drive and motivation, an ability to self-reflect and a commitment to learning	Adept
	Value Diversity	Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives	Adept
 Relationships	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
	Influence and Negotiate	Gain consensus and commitment from others, and resolve issues and conflicts	Adept
 Results	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
	Think and Solve Problems	Think, analyse and consider the broader context to develop practical solutions	Advanced
 Business Enablers	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
	Project Management	Understand and apply effective planning, coordination and control methods	Adept

COMPLEMENTARY CAPABILITIES

Capability group/sets	Capability name	Description	Level
	Manage and Develop People	Engage and motivate staff, and develop capability and potential in others	Adept
	Inspire Direction and Purpose	Communicate goals, priorities and vision, and recognise achievements	Intermediate
	Manage Reform and Change	Support, promote and champion change, and assist others to engage with change	Adept

Occupation specific capability set

	Skills & Quality, Quality and conformance, Conformance Review	The independent assessment of the conformity of any activity, process, deliverable, product or service to the criteria of specified standards, best practice, or other documented requirements. May relate to, for example, asset management, network security tools, firewalls and internet security, sustainability, real-time systems, application design and specific certifications	Level 5 - CORE
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