

Role Description

Senior Internal Auditor



Agency	Sydney Trains
Division/Branch/Unit	Finance & Business Services / Internal Audit & Assurance Governance
Location	Sydney
Role Grade or Band	RC6
Senior Executive Work Level Standards	Professional / Technical / Specialist
Kind of Employment	Permanent Full Time
Role Number	51007223 & 51007224
ANZSCO Code	221214
PCAT Code	3229183
Job Code	81000372
Health Assessment Category - Safety	Category 4
Vision	N/A - Cat 4 Only
Hearing	N/A - Cat 4 Only
Date of Approval	July 2018
Agency Website	www.sydneytrains.info

Group Rail overview

Group Rail is made up of Sydney Trains and NSW TrainLink.

Sydney Trains and NSW TrainLink were established in July 2013 as part of the integrated Transport authority and focus on providing sustainable, efficient and cost effective services by putting the customer at the centre of everything they do to delivering safe, reliable and clean rail services.

Sydney Trains provides train services throughout the Sydney CBD with **NSW TrainLink** connecting people and communities throughout NSW and serves regional communities bringing together intercity and regional rail services and coach for the needs of customers travelling longer distances.

Primary purpose of the role

The primary purpose of the role is to assist and support the examination, verification, evaluation and reporting on financial, operational and managerial processes, systems, controls and outcomes to ensure financial and operational integrity and compliance.

Key accountabilities

- Undertake internal audit projects for Sydney Trains, NSW TrainLink and RailCorp, individually or as part of a team, with a risk focus and under minimal supervision, ensuring that completed internal audits add value and are executed in accordance with quality standards, plans, budgets, feedback requirements and agreed timeframes
- Undertake consulting and advisory engagements to provide proactive advice to management in order to facilitate continuous improvement and contribute to best practice processes, systems and controls
- Develop the risks, objectives, scope, staffing, internal auditing techniques and strategies (including the use of data analytics) for internal audit and other projects to enable effective project planning
- Prepare high quality reports for all assignments with an opinion on the risk management, internal control environment and practical suggestions to remedy weaknesses

- Participate in the ongoing follow up of the completion of agreed internal audit actions
- Participate in the development of annual risk-based internal audit plans and strategic plans for the Internal Audit team that align with current and future corporate goals
- Suggest practical improvements to auditing and review strategies and methodologies based on business changes, technology trends and industry best practice to drive performance and best practice
- Live the NSW Public Sector and organisational values to achieve outstanding outcomes for the organisation and customers
- Execute safety responsibilities, authorities, and accountabilities consistent with the Sydney Trains safety management system requirements which are defined in SMS document number SMS-02-RG-3058, and NSW TrainLink safety management system requirements.

Key challenges

- Supporting improvement and transformation in the organisations given the range of internal and external stakeholders, the potential resistance to change and the need for both structural and cultural change
- Maintaining detailed and current knowledge of internal audit and risk management best practices
- Managing competing priorities and timeframes including the need to complete multiple reviews concurrently.

Key relationships

Who	Why
Internal	
Senior Manager Internal Audit	<ul style="list-style-type: none"> • Escalate issues, keep informed, advise and receive instructions • Provide regular updates on key projects, issues and priorities • Contribute to strategic planning, policy development and decision making
Internal Audit and Assurance and Governance team	<ul style="list-style-type: none"> • Work closely and effectively to ensure all internal audit projects add value and make effective use of resources
Sydney Trains and NSW TrainLink Business Unit Leaders	<ul style="list-style-type: none"> • Collaborate in internal audit work and provide specialist advice
External	
TfNSW, other Transport agencies and Other Government agencies	<ul style="list-style-type: none"> • Build collaborative working relationships for internal auditing policies, standards and requirements and exchange of information on best practice
External Consultants	<ul style="list-style-type: none"> • Provide internal audit resources and internal audit, business process and controls best practices and industry trends

Role dimensions

Decision making

Independent decision making requirements of the position include:

- Internal audits and other projects in accordance with the Internal Audit Methodology and the International Standards for the Professional Practice of Internal Auditing

Collaborative decision making requirements of the position include:

- Internal audit strategy and methodology and annual internal audit plans
- Internal audits and other consulting and advisory projects - resourcing, strategy and approach
- Risk management and control design advice
- Design of management actions to address control weaknesses identified by internal audit and other projects.

Reporting line

The role reports to the Senior Manager Internal Audit.

Direct reports

Nil

Budget/Expenditure

Nil

Essential requirements

- Tertiary qualification or willingness to undertake qualification in finance, risk or audit related discipline, CA, CPA, CISA or CIA and/or equivalent experience, with a demonstrated ability to maintain awareness of contemporary industry best practice
- Experience in an internal audit or operational risk capacity in an organisation operating in a complex, high reliability environment, with a proven record of achievement in the conduct of operational, financial, compliance, IT audits and other consulting/advisory type projects
- Ability to work on site and/or in a Corporate/Field environment.





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

Capability summary

The full list of capabilities and the level required for this role are set out below. The focus capabilities appear in bold. 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	Adept
	Act with Integrity	Advanced
	Manage Self	Adept
	Value Diversity	Intermediate
 Relationships	Communicate Effectively	Adept
	Commit to Customer Service	Intermediate
	Work Collaboratively	Adept
	Influence and Negotiate	Intermediate
 Results	Deliver Results	Adept
	Plan and Prioritise	Intermediate
	Think and Solve Problems	Adept
	Demonstrate Accountability	Intermediate
 Business Enablers	Finance	Intermediate
	Technology	Adept
	Procurement and Contract Management	Foundational
	Project Management	Intermediate

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 Act with Integrity	Advanced	<ul style="list-style-type: none"> • Model the highest standards of ethical behaviour and reinforce them in others • Represent the organisation in an honest, ethical and professional way and set an example for others to follow • Ensure that others have a working understanding of the legislation and policy framework within which they operate • 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 on reported breaches of rules, policies and guidelines
Relationships Communicate Effectively	Adept	<ul style="list-style-type: none"> • Tailor communication to the audience • Clearly explain complex concepts and arguments to individuals and groups • Monitor own and others' non-verbal cues and adapt where necessary • Create opportunities for others to be heard • Actively listen to others and clarify own understanding • Write fluently in a range of styles and formats
Relationships Work Collaboratively	Adept	<ul style="list-style-type: none"> • Encourage a culture of recognising the value of collaboration • Build co-operation and overcome barriers to information sharing and communication across teams/units • Share lessons learned across teams/units • Identify opportunities to work collaboratively with other teams/units to solve issues and develop better processes and approaches to work
Results Deliver Results	Adept	<ul style="list-style-type: none"> • Take responsibility for delivering on intended outcomes • Make sure team/unit staff understand expected goals and acknowledge success • Identify resource needs and ensure goals are achieved within budget and deadlines • Identify changed priorities and ensure allocation of resources meets new business needs • Ensure financial implications of changed priorities are explicit and budgeted for • Use own expertise and seek others' expertise to achieve work outcomes
Results Think and Solve Problems	Adept	<ul style="list-style-type: none"> • Research and analyse information, identify interrelationships and make recommendations based on relevant evidence • Anticipate, identify and address issues and potential problems and select the most effective solutions from a range of options • Participate in and contribute to team/unit initiatives to resolve common issues or barriers to effectiveness • Identify and share business process improvements to enhance effectiveness

NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
Results		
Demonstrate Accountability	Intermediate	<ul style="list-style-type: none"> • Take responsibility and be accountable for own actions • Understand delegations and act within authority levels • Identify and follow safe work practices and be vigilant about their application by self and others • Be alert to risks that might impact the completion of an activity and escalate these when identified
Business Enablers		
Project Management	Intermediate	<ul style="list-style-type: none"> • Perform basic research and analysis which others will use to inform project directions • Understand project goals, steps to be undertaken and expected outcomes • Prepare accurate documentation to support cost or resource estimates • Participate and contribute to reviews of progress, outcomes and future improvements • Identify and escalate any possible variance from project plans