

Role Description

Senior Auditor



Customer
Service

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| Cluster | Customer Service |
| Agency | Department of Customer Service |
| Division/Branch/Unit | Better Regulation/Liquor, Gaming & Emergency Management/Liquor & Gaming NSW/Regulatory Operations Branch |
| Classification/Grade/Band | Clerk Grade 7/8 |
| ANZSCO Code | 224999 |
| PCAT Code | 1221292 |
| Date of Approval | January 2016 |

Primary purpose of the role

The Senior Auditor is responsible for strategic and operational aspects of audits of regulated industries and providing expert advice and quality risk-based audit approaches, aligning planning and audit activities with L&GNSW goals and statutory requirements. The Senior Auditor has a particular focus on risk-based compliance assurance activities associated with the NSW major gaming licences, and works in consultation with management, staff, licensed operators and key stakeholders, including interstate regulators, and intelligence and regulatory agencies.

Key accountabilities

- Develop Compliance Audit Frameworks which identify legislative obligations for each of the major NSW gaming licences and assesses the risks relevant to these obligations
- Develop risk-based audit approaches to gain assurance that regulated entities are in compliance with their legislative obligations, and that areas of improvement are identified and addressed
- Lead and maintain oversight of audit activities, and financial investigations in line with L&GNSW risk-based and intelligence led regulatory approach. Audit activities may include periodic audits of Systems of Internal controls, Compliance Plans and Revenue Cycles for duties and levies payable by each of the major NSW gaming licences or assessing the integrity and financial suitability of their key personnel
- Provide comprehensive audit reports and briefs once regulated entities have responded to audit findings and recommendations
- Provide expert advice, support and recommendations to management and staff on a range of complex compliance, audit and risk management matters, in accordance with established government policies and procedures, legislative requirements and professional standards
- Provide strategic and operational analysis and reporting to assist in the development of policy initiatives and the delivery of key programs

- Maintain an up to date knowledge of relevant legislation, regulations, policies and auditing and professional standards and apply them to the development and delivery of risk-based audit activities
- Maintain constructive relationships with key stakeholders, including co-regulators, legal service providers and industry stakeholders, in order to optimise outcomes

Key challenges

- Providing high quality critical analysis in the development of audit approaches and plans, with minimal supervision – findings and recommendations may have significant consequences and implications and can be complex and/or sensitive.
- Prioritising and overseeing high volume of regulatory audits in line with the principles of risk-based, intelligence-led outcome focused regulation.
- Maintaining comprehensive and current knowledge of relevant legislation, auditing and professional standards, ensuring that L&GNSW's audit approaches are in line with industry and ISO guidance.

Key relationships

| Who | Why |
|--|--|
| Internal | |
| Compliance Program Coordinator | <ul style="list-style-type: none"> • Consult, support, receive direction, provide updates and specialist information and advice • Escalate and assist to resolve difficult or complex issues |
| Other Coordinators/Managers/Team Leaders | <ul style="list-style-type: none"> • Collaborate in relation to shared strategies/activities, support, inform and contribute to broader planning/management |
| Work team | <ul style="list-style-type: none"> • Support team members and work collaboratively to contribute to achieving business outcomes • Participate in discussions and decisions regarding resolution of issues and implementation of innovation and best practice • Represent work group perspective and share information • Review work and proposals of team members |
| Customers/Stakeholder | <ul style="list-style-type: none"> • Manage the flow of information, seek clarification and provide customer focused advice and responses to ensure prompt resolution of issues • Articulate the needs and requirements of the service and collaborate with to negotiate solutions, provide expert customer focused advice and regular updates • Address/respond to queries to provide advice where possible, or redirect to relevant party for review and resolution |
| External | |
| Legal service providers | <ul style="list-style-type: none"> • Develop and maintain effective working relationships and open channels of communication to provide and obtain information, and ensure effective management and implementation of expectations and standards • Exchange information, collaborate, give and receive support |
| Industry stakeholders | <ul style="list-style-type: none"> • Exchange information, provide support and information, negotiate, take compliance and enforcement action under delegation |
| Other regulators and Government Agencies | <ul style="list-style-type: none"> • Share information and work collaboratively to optimise outcomes |

| Who | Why |
|-----|--|
| | <ul style="list-style-type: none"> • Provide and share information, discuss and seek input on matters or issues • Participate in meetings and represent the organisation's perspective |

Role dimensions

Decision making

This role has autonomy and makes decisions that are under their direct control as directed by their Manager. It refers to a Managers' decisions that require significant change to program outcomes or timeframes 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.

Reporting line

Compliance Program Coordinator

Direct reports

Nil

Budget/Expenditure

As per Customer Service Delegations

Essential requirements

- Tertiary qualifications in auditing or other related discipline.
Hold ISO 19011:2018 Auditor Certification or similar or have capacity to obtain such certification within 3 months of commencement in the role.
- Demonstrated experience in developing Audit Frameworks and audit plans
- Demonstrated experience in conducting complex audits, reviews, and risk analysis.
- Demonstrated experience of financial literacy, including analysis of financial information.
- Appointment and ongoing assignment is subject to the satisfactory participation in mandatory preemployment and ongoing probity screening, in accordance with the L&GNSW Probity Framework. Incumbents will also need to meet requirements to be appointed as an Inspector under relevant legislation.

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"> 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 |
| | Act with Integrity Be ethical and professional, and uphold and promote the public sector values | <ul style="list-style-type: none"> 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 |
|  Relationships | Communicate Effectively Communicate clearly, actively listen to others, and respond with understanding and respect | <ul style="list-style-type: none"> 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 |
| | Commit to Customer Service Provide customer-focused services in line with public sector and organisational objectives | <ul style="list-style-type: none"> Focus on providing a positive customer experience Support a customer-focused culture in the organisation Demonstrate a thorough knowledge of the services provided and relay this knowledge to customers Identify and respond quickly to customer needs | Intermediate |

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|---|---|--|--------------|
| | | <ul style="list-style-type: none"> Consider customer service requirements and develop solutions to meet needs Resolve complex customer issues and needs Cooperate across work areas to improve outcomes for customers | |
|  | Deliver Results Achieve results through the efficient use of resources and a commitment to quality outcomes | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 |
| | Demonstrate Accountability Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | <ul style="list-style-type: none"> Be proactive in taking responsibility and being accountable for own actions Understand delegations and act within authority levels Identify and follow safe work practices, and be vigilant about own and others' application of these practices Be aware of risks and act on or escalate risks, as appropriate Use financial and other resources responsibly | Intermediate |



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

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 | 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 | Foundational |
| Relationships | Work Collaboratively | Collaborate with others and value their contribution | Intermediate |
| | Influence and Negotiate | Gain consensus and commitment from others, and resolve issues and conflicts | Intermediate |
| Results | Plan and Prioritise | Plan to achieve priority outcomes and respond flexibly to changing circumstances | Intermediate |
| Business Enablers | 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 | Foundational |
| | Project Management | Understand and apply effective planning, coordination and control methods | Foundational |