# Role Description
# **Auditor**

| | |
|---|---|
| **Cluster** | Customer Service |
| **Agency** | Department of Customer Service |
| **Division/Branch/Unit** | Corporate Services/Governance Risk and Performance |
| **Classification/Grade/Band** | Clerk Grade 7/8 |
| **ANZSCO Code** | 221214 |
| **PCAT Code** | 1221292 |
| **Date of Approval** | November 2019 |

## Primary purpose of the role

Performs a range of operational, Information Technology (IT), financial and compliance audits, special projects and assists with fraud and corruption investigations and prevention measures in accordance with the Internal Audit Methodology.

## Key accountabilities

- Perform diverse and complex operational, IT, financial and compliance audits; special projects and investigations within required deadlines and quality standards
- Contribute to the development, implementation and compliance with fraud and corruption prevention control strategies and policies, including Conflicts of Interest to support optimal service delivery
- Assist with fraud and corruption investigations and liaise with external law enforcement bodies to ensure compliance
- Perform independent assessments of the quality of internal controls, business processes and areas investigated and make recommendations on continuous improvement to minimise risk and optimise outcomes
- Contribute to the preparation of and perform audit programs including walk throughs, identification of risks and controls, documentation of client processes
- Contribute to the preparation of draft audit reports and other written documentation to expected standards
- Assist with post implementation follow up of audit observations and agreed management actions reporting to managers on the status of agreed management actions to ensure recommendations are actioned

## Key challenges

- Planning and conducting audits, investigations and special projects to achieve delivery in a timely manner and at required quality standards in a complex work environment with competing priorities
- Presenting audit observations and issues in a manner that supports the process of developing agreed management actions to address identified issues while maintaining independence and objectivity

- Understanding the processes and requirements unique to a public sector organisation and the complexity of the organisation while building and maintaining strong working relationships with a range of stakeholders

## Key relationships

| Who | Why |
|-----|-----|
| **Internal** | |
| Manager | - Provide advice and report on the status of projects<br>- Escalate issues keep informed, advise, receive guidance and instructions and provide solutions<br>- Deliver tasks assigned by managers |
| Director Audit | - Liaise and work collaboratively to implement the Annual Audit Plan and assigned projects |
| Work team | - Support team members and work collaboratively to contribute to achieving the team's business outcomes<br>- Participate in discussions and decisions regarding resolution of issues and implementation of innovation and best practice |
| Customer | - Maintain effective working relationships to facilitate the audit process<br>- Address/respond to queries to provide customer focused advice where possible, or redirect to relevant party for review and resolution |
| **External** | |
| NSW Audit Office, ICAC and the Office of the Ombudsman, and other agencies | - Maintain effective working relationships to facilitate the audit process |

## 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

Manager Audit

### Direct reports

Nil

### Budget/Expenditure

Per Customer Service Delegations

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## Essential requirements

Certified Accountant or Certified Public Accountant or working towards professional qualification, with 1 – 4 years previous audit experience in Big-4 or similar organisation, or experience performing operational audits, compliance reviews, investigations and assurance work

## 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

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** | **Intermediate** |
| | **Act with Integrity** | **Adept** |
| | Manage Self | Adept |
| | Value Diversity | Intermediate |
| Relationships | Communicate Effectively | Adept |
| | **Commit to Customer Service** | **Adept** |
| | Work Collaboratively | Intermediate |
| | Influence and Negotiate | Adept |
| Results | Deliver Results | Intermediate |
| | Plan and Prioritise | Intermediate |
| | **Think and Solve Problems** | **Intermediate** |
| | Demonstrate Accountability | Intermediate |
| Business Enablers | Finance | Intermediate |
| | **Technology** | **Intermediate** |
| | Procurement and Contract Management | Foundational |
| | Project Management | Foundational |

### 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**<br>Display Resilience and Courage | Intermediate | • Be flexible and adaptable and respond quickly when situations change<br>• Offer own opinion and raise challenging issues<br>• Listen when ideas are challenged and respond in a reasonable way<br>• Work through challenges<br>• Stay calm and focused in the face of challenging situations |
| Act with Integrity | Adept | • Represent the organisation in an honest, ethical and professional way and encourage others to do so<br>• Demonstrate professionalism to support a culture of integrity within the team/unit<br>• Set an example for others to follow and identify and explain ethical issues<br>• Ensure that others understand the legislation and policy framework within which they operate<br>• Act to prevent and report misconduct, illegal and inappropriate behaviour |
| **Relationships**<br>Commit to Customer Service | Adept | • Take responsibility for delivering high quality customer-focused services<br>• Understand customer perspectives and ensure responsiveness to their needs<br>• Identify customer service needs and implement solutions<br>• Find opportunities to co-operate with internal and external parties to improve outcomes for customers<br>• Maintain relationships with key customers in area of expertise<br>• Connect and collaborate with relevant stakeholders within the community |
| **Results**<br>Think and Solve Problems | Intermediate | • Research and analyse information and make recommendations based on relevant evidence<br>• Identify issues that may hinder completion of tasks and find appropriate solutions<br>• Be willing to seek out input from others and share own ideas to achieve best outcomes<br>• Identify ways to improve systems or processes which are used by the team/unit |
| **Business Enablers**<br>Technology | Intermediate | • Apply computer applications that enable performance of more complex tasks<br>• Apply practical skills in the use of relevant technology<br>• Make effective use of records, information and knowledge management functions and systems<br>• Understand and comply with information and communications security and acceptable use policies<br>• Support the implementation of systems improvement initiatives and the introduction and roll-out of new technologies |