

# Role Description

## Senior IT Compliance and Risk Analyst



Customer  
Service

Cluster	Customer Service
Department/Agency	Customer Service
Division/Branch/Unit	Customer, Delivery and Transformation/Revenue NSW / Revenue Digital
Classification/Grade/Band	Grade 9/10
ANZSCO Code	263299
PCAT Code	1221268
Date of Approval	February 2020

### Primary purpose of the role

Responsible for ensuring the business effectively manages and addresses its technology, digital and data risks to ensure the ongoing security and compliance of systems

### Key accountabilities

- Manage the businesses information security management system (ISMS) to ensure ongoing certification against the relevant Australian standard
- Research, analyse, review and document systems, identify emerging issues, develop evidence-based options, and recommended solutions to resolve problems and mitigate risks
- Coordinate, track, support and report on responses to audit findings and recommendations to ensure audits are carried out in a methodical manner and the business meets its agreed obligations
- Communicate with and provide expert advice to customers and stakeholders, to confirm they understand their obligations and are engaged appropriately to ensure outcomes are achieved on time and to the expected standard
- Manage and coordinate risk activities, monitoring and tracking to ensure scheduled and ad hoc reviews and compliance actions are carried out on time and to the expected standards
- Develop and implement systems, tools and processes in collaboration with key stakeholders to deliver meaningful improvements and the highest quality outputs and outcomes
- Assist with the development, implementation and ongoing analysis of policies procedures and standards to continually improve the quality, accuracy, efficiency and timeliness of risk management, compliance and reporting

### Key challenges

- Working in a fast-paced environment undergoing constant change and with competing priorities, to ensure timeframes are met
- Maintaining currency and applicability of, subject matter knowledge, relevant legislation and statutory changes whilst working to tight timeframes

## Key relationships

Who	Why
<b>Internal</b>	
Manager	<ul style="list-style-type: none"> <li>• Escalate issues, keep informed, advise, receive guidance and instruction</li> <li>• Provide recommendations and inform through reporting any sensitive and emerging issues</li> <li>• Participate in meetings and discussions to share information and provide input and feedback</li> </ul>
Work Team	<ul style="list-style-type: none"> <li>• Support team members and work collaboratively to contribute to achieving the team's business outcomes</li> <li>• Participate in discussions and decisions regarding resolution of issues and implementation of innovation and best practice</li> <li>• Represent work group perspective and share information</li> </ul>
Customers/Stakeholders	<ul style="list-style-type: none"> <li>• Provide a customer focused approach to service delivery</li> <li>• Manage the flow of information, seek clarification and provide customer focused advice and responses to ensure prompt resolution of issues</li> <li>• Address/respond to queries to provide advice where possible, or redirect to relevant party for review and resolution</li> </ul>
Organisational security, compliance and risk functions	<ul style="list-style-type: none"> <li>• 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</li> <li>• Escalate issues, keep informed, advise, receive guidance and instruction</li> </ul>
<b>External</b>	
NSW Audit Office	<ul style="list-style-type: none"> <li>• Respond and resolve queries, providing information and/or resources or redirect to the appropriate person or business unit if required</li> <li>• 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</li> </ul>
Customer/ Stakeholder	<ul style="list-style-type: none"> <li>• Respond and resolve queries, providing information and/or resources or redirect to the appropriate person or business unit if required</li> <li>• 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</li> </ul>

Who	Why
	<ul style="list-style-type: none"> <li>Engage with, consult, seek clarification and provide customer focused advice and responses to ensure the prompt resolution of issues.</li> </ul>

## 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. This role submits reports, business cases and other forms of written advice with minimal input from the manager.

### Reporting line

Manager Digital and Data, Risk and Compliance

### Direct reports

This role has no direct reports

### Budget/Expenditure

As per Customer Service Delegations

## Essential requirements

Nil

## 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	<b>Act with Integrity</b> Be ethical and professional, and uphold and promote the public sector values	<ul style="list-style-type: none"> <li>Model the highest standards of ethical and professional behaviour and reinforce their use</li> <li>Represent the organisation in an honest, ethical and professional way and set an example for others to follow</li> <li>Promote a culture of integrity and professionalism within the organisation and in dealings external to government</li> <li>Monitor ethical practices, standards and systems and reinforce their use</li> <li>Act promptly on reported breaches of legislation, policies and guidelines</li> </ul>	Advanced
	<b>Commit to Customer Service</b> Provide customer-focused services in line with public sector and organisational objectives	<ul style="list-style-type: none"> <li>Take responsibility for delivering high-quality customer-focused services</li> <li>Design processes and policies based on the customer's point of view and needs</li> <li>Understand and measure what is important to customers</li> <li>Use data and information to monitor and improve customer service delivery</li> <li>Find opportunities to cooperate with internal and external stakeholders to improve outcomes for customers</li> <li>Maintain relationships with key customers in area of expertise</li> <li>Connect and collaborate with relevant customers within the community</li> </ul>	Adept
	<b>Work Collaboratively</b> Collaborate with others and value their contribution	<ul style="list-style-type: none"> <li>Encourage a culture that recognises the value of collaboration</li> <li>Build cooperation and overcome barriers to information sharing and communication across teams and units</li> <li>Share lessons learned across teams and units</li> <li>Identify opportunities to leverage the strengths of others to solve issues and develop better processes and approaches to work</li> <li>Actively use collaboration tools, including digital technologies, to engage diverse audiences in solving problems and improving services</li> </ul>	Adept
 Results	<b>Demonstrate Accountability</b> Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	<ul style="list-style-type: none"> <li>Design and develop systems to establish and measure accountabilities</li> <li>Ensure accountabilities are exercised in line with government and business goals</li> <li>Exercise due diligence to ensure work health and safety risks are addressed</li> <li>Oversee quality assurance practices</li> </ul>	Advanced

		<ul style="list-style-type: none"> <li>• Model the highest standards of financial probity, demonstrating respect for public monies and other resources</li> <li>• Monitor and maintain business-unit knowledge of and compliance with legislative and regulatory frameworks</li> <li>• Incorporate sound risk management principles and strategies into business planning</li> </ul>	
	<b>Technology</b> Understand and use available technologies to maximise efficiencies and effectiveness	<ul style="list-style-type: none"> <li>• Identify opportunities to use a broad range of technologies to collaborate</li> <li>• Monitor compliance with cyber security and the use of technology policies</li> <li>• Identify ways to maximise the value of available technology to achieve business strategies and outcomes</li> <li>• Monitor compliance with the organisation's records, information and knowledge management requirements</li> </ul>	Adept

## Occupation specific capability set





	<b>Skills and Quality, Skills Management, Conformance Review</b> 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	<ul style="list-style-type: none"> <li>• Collects and collates evidence as part of a formally conducted and planned review of activities, processes, products or services.</li> <li>• Examines records as part of specified testing strategies for evidence of compliance with management directives, or the identification of abnormal occurrences</li> </ul>	<b>CORE - Level 3</b>
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## 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	Display Resilience and Courage	Be open and honest, prepared to express your views, and willing to accept and commit to change	Adept
	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	Intermediate
 Relationships	Communicate Effectively	Communicate clearly, actively listen to others, and respond with understanding and respect	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	Adept
 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	Intermediate

## Occupation specific capability set



Relationships and Engagement,  
Stakeholder Management,  
Relationship Management

The systematic identification, analysis, management, monitoring and improvement of stakeholder relationships in order to target and improve mutually beneficial outcomes. Gains commitment to action through consultation and consideration of impacts. Design the relationship management approach to be taken; including roles and responsibilities, governance, policies, processes, and tools, and support mechanisms. Creatively combines formal and informal communication channels in order to achieve the desired result