

**ROLE DESCRIPTION**

**Senior Internal Auditor**

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| **Cluster** | Stronger Communities |
| **Department** | Department of Communities and Justice |
| **Division/Branch/Unit** | Corporate Services /Audit Risk and Compliance/Internal Audit |
| **Location** | Parramatta with Hybrid Working Arrangements/WFH |
| **Classification/Grade/Band** | Clerk Grade 9/10 |
| **Role Number** | 50050283/ 50050278 |
| **ANZSCO Code** | 221214 |
| **PCAT Code** | 1221213 |
| **Date of Approval** | 16 May 2023 | **Ref: GA0004** |
| **Agency Website** | www.dcj.nsw.gov.au |

# Agency overview

The Department of Communities and Justice (DCJ) is the lead agency under the Stronger Communities Cluster. DCJ works to enable everyone's right to access justice and help for families through early intervention and inclusion, with benefits for the whole community. Stronger Communities is focussed on achieving safe, just, inclusive and resilient communities by providing services that are effective and responsive to community needs.

# Primary purpose of the role

Assist the Manager Internal Audit to embed consistent and integrated internal audit and assurance practices, as well as promoting a pro-active and positive assurance culture. The role will be part of the partnership with management in the Department to embed assurance and controls within business processes, , and to promote the Internal Audit (IA) frameworks.

Manage the completion of the Strategic Internal Audit Program (SAIP) within the context of their internal audit portfolio.

# Key accountabilities

* Direct and complete diverse and complex operational, IT, financial, assurance and business evaluation reviews and other compliance audits in accordance with the Internal Audit program across the Department ensuring compliance with the Audit Charter and the objectives of the SIAP.
* Assist in responding quickly to special reviews and management requests and in accordance with established/agreed timeframes. Co-ordinate and manage review teams.
* Provide assistance, manage and undertake (as required) internal audit and assurance projects, fraud prevention projects, special projects, and investigations, to support the objectives of Internal Audit and deliver key initiatives. This includes project planning, stakeholder management, and resource negotiation.
* Partner with management on assurance activities, develop and maintain a range of collaborative networks across the Department / Division / Business Centres to support the delivery of assurance and provide feedback on the Internal Audit and its processes.
* Assist and contribute to a professional ‘assurance report service’ including the preparation, coordination, collation and distribution of various papers and reports for the Audit and Risk Committee. Co-ordinate debriefing meetings with management to discuss findings and possible solutions. Work with management at all levels to develop and finalise actions plans to improve controls, processes, and operational efficiencies.
* Undertake the monitoring and reporting of audits reviews and activities including tracking management actions (self-assessment), surveying audit activity stakeholders and dashboard reporting of status and trending of audit findings, management actions, control assessments, areas covered and audit activities in accordance with established timeframes.
* Ensure timely, expert advice and professional support to senior management across the agency relating to the application of better practice in internal audit processes, strategic audit plans and compliance with NSW Treasury Policy.
* Contribute to the development of the Strategic Internal Audit Program, the Quality Assurance and Improvement Programme (QAIP) and Internal Audit’s business planning. Support and assist the ARU management to continuously improve Internal Audit services and programs that provide the basis for integrated approaches to risk-based auditing and assurance.

# Key challenges

* Supporting the Manager Internal Audit and the Director through completion of the SIAP to provide assurance over controls.
* Fostering collaborative working partnerships with key internal and external stakeholders to ensure optimal engagement and exchange of information.
* Proactively maintaining an awareness of innovation and best practice in business audit management and analysing applicability to the agency’s operating environment to identify potential improvements.

# Key relationships

| Who | Why |
| --- | --- |
| **Internal** |  |
| Audit and Risk Committee; Secretary, Deputy Secretary; Director  | Provide key information, recommendations, advice and briefings on strategic risk management issues to achieve successful outcomes and corporate objectives |
| Senior Executives and Divisions, Directorates and branches/units | Provide advice and support on key issues directed at achieving successful outcomes for business objectives and respond directly to any escalated issues. Build co-operative working relationships with senior executives across the Department, in operational, financial and strategic areas to facilitate collection and analysis of information and development of strategies. Ensure client focused service delivery.Build and maintain collegiate, consultative relationships. |
| Internal Audit | Maintain effective working relationships to facilitate the audit and risk process.Provide and receive information and advice relating to project(s), review(s) and initiative(s). Provide informed appropriate responses to issues.Provide an effective and valuable two-way liaisonEnable mutual continued development |
| Direct Reports | Guide and manage performance and development |
| Central Agencies | Represent the Department and Cluster at meetings and other forums on assurance matters.Provides informed appropriate responses to issues. |
| **External** |  |
| Other government agencies | To establish and maintain effective collaboration and working relationships. |
| Contractors & service providers | Direct, supervise and monitor performance, allocate resources, manage budgets, to ensure Internal Audit objectives are achieved in accordance with relevant policy, procedures, standards and legislative requirements |

# Role dimensions

## Decision making

The role supports the review, design and implementation of improved audit/assurance methodologies, tools, systems and processes in consultation with the Manager Internal Audit and the Director, Audit, Risk and Compliance.

This role:

* Is expected to exercise sound judgment under delegated authority, including applying effective decision-making techniques and practices in resolving complex problems and issues.
* Is expected to exercise a high level of independent judgement in this capacity and is fully accountable for the quality, integrity and accuracy of the content of advice provided.

## Reporting line

The role reports to the Manager, Internal Audit.

## Direct reports

The role has up to 4 direct reports.

May assist with the supervision of small project teams or contractors.

**Note:** The reporting lines within Internal Audit may change in response to workload volume, projects and deliverables.

## Budget/Expenditure

TBA

# Key knowledge and experience

* Extensive auditing experience in a large and complex public sector or service industry organisation and contributing to the delivery of a risk based Internal Audit Plan
* Demonstrated ability to critically analyse and interpret legislation, policy, procedures, findings and best practice to formulate value adding recommendations through clear and concise audit reports.
* Knowledge and understanding of organisational governance principles, practice in the public sector, the workings of government, NSW Treasury Policy and the relevant legislation that underpins NSW public sector financial management, as well as continuous audit and process improvements and working cooperatively with management.

# Essential requirements

* Tertiary/professional qualifications in quality assurance, audit, risk management (such as Certified Internal Auditor, CPA, CA or Certified Information Systems Auditor) or equivalent experience and commitment to ongoing professional development.
* An ability and willingness to travel in New South Wales to undertake audit activities.

Appointments are subject to reference checks. Some roles may also require the following checks/ clearances:

* National Criminal History Record Check in accordance with the Disability Inclusion Act 2014
* Working with Children Check clearance in accordance with the Child Protection (Working with Children) Act 2012

# Capabilities for the role

The [NSW public sector capability framework](https://www.psc.nsw.gov.au/workforce-management/capability-framework/the-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 |
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| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level** |
| Personal Attributes logo | **Display Resilience and Courage**Be open and honest, prepared to express your views, and willing to accept and commit to change | * 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 |
| Personal Attributes logo | **Act with Integrity**Be ethical and professional, and uphold and promote the public sector values | * Model the highest standards of ethical and professional behaviour and reinforce their use
* Represent the organisation in an honest, ethical and professional way and set an example for others to follow
* 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 promptly on reported breaches of legislation, policies and guidelines
 | Advanced |
| Relationships logo  | **Communicate Effectively**Communicate clearly, actively listen to others, and respond with understanding and respect | * 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 |
| Relationships logo  | **Work Collaboratively**Collaborate with others and value their contribution | * Encourage a culture that recognises the value of collaboration
* Build cooperation and overcome barriers to information sharing and communication across teams and units
* Share lessons learned across teams and units
* Identify opportunities to leverage the strengths of others to solve issues and develop better processes and approaches to work
* Actively use collaboration tools, including digital technologies, to engage diverse audiences in solving problems and improving services
 | Adept |
| Relationships logo  | **Influence and Negotiate**Gain consensus and commitment from others, and resolve issues and conflicts | * Negotiate from an informed and credible position
* Lead and facilitate productive discussions with staff and stakeholders
* Encourage others to talk, share and debate ideas to achieve a consensus
* Recognise diverse perspectives and the need for compromise in negotiating mutually agreed outcomes
* Influence others with a fair and considered approach and sound arguments
* Show sensitivity and understanding in resolving conflicts and differences
* Manage challenging relationships with internal and external stakeholders
* Anticipate and minimise conflict
 | Adept |
| Results logo | **Deliver Results**Achieve results through the efficient use of resources and a commitment to quality outcomes | * 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 |
| Results logo | **Plan and Prioritise**Plan to achieve priority outcomes and respond flexibly to changing circumstances | * Consider the future aims and goals of the team, unit and organisation when prioritising own and others’ work
* Initiate, prioritise, consult on and develop team and unit goals, strategies and plans
* Anticipate and assess the impact of changes, including government policy and economic conditions, on team and unit objectives and initiate appropriate responses
* Ensure current work plans and activities support and are consistent with organisational change initiatives
* Evaluate outcomes and adjust future plans accordingly
 | Adept |
| Results logo | **Think and Solve Problems**Think, analyse and consider the broader context to develop practical solutions | * 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 |
| Business Enablers logo | **Project Management**Understand and apply effective planning, coordination and control methods | * Prepare and review project scope and business cases for projects with multiple interdependencies
* Access key subject-matter experts’ knowledge to inform project plans and directions
* Design and implement effective stakeholder engagement and communications strategies for all project stages
* Monitor project completion and implement effective and rigorous project evaluation methodologies to inform future planning
* Develop effective strategies to remedy variances from project plans and minimise impact
* Manage transitions between project stages and ensure that changes are consistent with organisational goals
* Participate in governance processes such as project steering groups
 | Advanced |
| People Management logo | **Manage and Develop People**Engage and motivate staff, and develop capability and potential in others | * Collaborate to set clear performance standards and deadlines in line with established performance development frameworks
* Look for ways to develop team capability and recognise and develop individual potential
* Be constructive and build on strengths by giving timely and actionable feedback
* Identify and act on opportunities to provide coaching and mentoring
* Recognise performance issues that need to be addressed and work towards resolving issues
* Effectively support and manage team members who are working flexibly and in various locations
* Create a safe environment where team members’ diverse backgrounds and cultures are considered and respected
* Consider feedback on own management style and reflect on potential areas to improve
 | Intermediate |

# 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 is not relevant for recruitment purposes however may be relevant for future career development.

| COMPLEMENTARY CAPABILITIES |
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| **Capability Group/Sets** | **Capability Name** | **Description** | **Level**  |
| Personal Attributes logo |  |  |  |
| 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 | Intermediate |
| Relationships logo  |  |  |  |
| Commit to Customer Service | Provide customer-focused services in line with public sector and organisational objectives | Adept |
| Results logo |  |  |  |
| Demonstrate Accountability | Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | Intermediate |
| Business Enablers logo |  |  |  |
| Finance | Understand and apply financial processes to achieve value for money and minimise financial risk | Intermediate |
| 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 | Intermediate |
| ~~People Management logo~~ |  |  |  |
| Inspire Direction and Purpose | Communicate goals, priorities and vision, and recognise achievements | Foundational |
| Optimise Business Outcomes | Manage people and resources effectively to achieve public value | Foundational |
| Manage Reform and Change | Support, promote and champion change, and assist others to engage with change | Foundational |