

|                          |  |
|--------------------------|--|
| <b>Position Title</b>    | Senior Audit and Assurance Officer     |
| <b>Department</b>        | Corporate                              |
| <b>Unit</b>              | Audit and Corporate Assurance          |
| <b>Team</b>              | Internal Audit                         |
| <b>Supervises</b>        | -                                      |
| <b>Reports To</b>        | Manager, Audit and Corporate Assurance |
| <b>Grade</b>             | K                                      |
| <b>Date Prepared</b>     | 8/10/2024                              |
| <b>Date Last Updated</b> | 8/10/2024                              |

## Our Vision & Values: A leading organisation that collaborates & innovates



We are committed to **safety**



We work as one **team**



We act with **integrity**



We care about our **customers**



We **continuously improve**

## Primary purpose of position

The position plays a key role in the delivery of the internal audit program across Council's services and operations, with a focus on improvement by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes.






## Accountabilities

- Develop the internal audit plan and process in line with the ERM Framework and risk register.
- Review the internal audit plan annually, in consultation with unit manager, senior and executive management.
- Conduct and manage assurance reviews, other audits and follow-ups including reporting of findings and recommendations.
- Consult proactively with management in the development stages of programs to provide information, education, advice and training in the implementation of internal controls to minimise risk.
- Evaluate and monitor the controls implemented by management to prevent fraud and corruption, and conduct preliminary investigations of suspected internal and external fraud and corruption, where required.
- Prepare for and attend Audit Risk and Improvement Committee meetings.
- Contribute to the review of internal audit systems, standards and processes to achieve continuous improvement in internal audit, including the use of new information technologies.
- Undertake other duties relevant to the role or skills required by the position.
- Maintain the Internal Audit follow-up database ensuring it remains up to date and reviews are scheduled and completed in a timely manner.
- Prepare the Committee's annual report to council including thematic analysis, overview of activities, outcomes of internal audit work, performance and quality assurance activities.



## Position capabilities and level

Below is the full list of capabilities and the level required for this position. The capabilities in bold are the focus capabilities for this position. Refer to the next section for further information about the focus capabilities.

| Capability Profile – Senior Technical/ Professional Specialist  |                                   |          |
|---|-----------------------------------|----------|
| Capability Group  | Capability Name                   | Level    |
| <br><b>Personal Character</b>  | Lead Self                         | Advanced |
|   | Display Resilience                | Adept    |
|   | <b>Act with Integrity</b>         | Advanced |
|   | Safety and Accountability         | Advanced |
|   | <b>Communicate and Engage</b>     | Adept    |
| <br><b>Relationships</b>      | Customer and Community Focus      | Adept    |
|   | <b>Work Collaboratively</b>       | Advanced |
|   | Influence and Negotiate           | Adept    |
|   | Plan and Prioritise               | Advanced |
| <br><b>Results</b>           | Think and Solve Problems          | Adept    |
|   | Innovate and Improve              | Advanced |
|   | <b>Deliver Results</b>            | Advanced |
|   | <b>Finance</b>                    | Adept    |
| <br><b>Resources</b>         | Assets and Tools                  | Adept    |
|   | <b>Technology and Information</b> | Adept    |
|   | Procurement and Contracts         | Adept    |
| <br><b>People Leadership</b> | Manage and Develop People         | N/A      |
|   | Inspire Direction and Purpose     | N/A      |
|   | Optimise Workforce Contribution   | N/A      |
|   | Lead and Manage Change            | N/A      |

## Focus Capabilities

The focus capabilities for the position are those judged to be most important at the time of recruiting to the position. That is, the ones that must be met at least satisfactory level for a candidate to be suitable for appointment.

### CBCity Capability Framework - Focus Capabilities

| Group & Capability         | Level    | Behavioural Indicators   |
|----------------------------|----------|--|
| <b>Results</b>             |          |  |
| Deliver Results            | Advanced | <ul style="list-style-type: none"> <li>• Sets high standards and challenging goals for self and others</li> </ul>  |
| <b>Relationships</b>       |          |  |
| Communicate and Engage     | Adept    | <ul style="list-style-type: none"> <li>• Tailors content, pitch and style of communication to the needs and level of</li> </ul>  |
| <b>Personal Character</b>  |          |  |
| Act with Integrity         | Advanced | <ul style="list-style-type: none"> <li>• Models ethical behaviour and reinforces it in others</li> </ul>   |
| <b>Resources</b>           |          |  |
| Technology and Information | Adept    | <ul style="list-style-type: none"> <li>• Selects appropriate technologies for projects and tasks</li> <li>• Identifies ways to leverage the value of technology to achieve outcomes</li> <li>• Ensures team understands their obligations to use technology appropriately</li> <li>• Ensures team understands obligations to comply with records, information and knowledge management requirements</li> </ul> |
| <b>Relationships</b>       |          |  |
| Work Collaboratively       | Advanced | <ul style="list-style-type: none"> <li>• Builds a culture of respect and understanding across the organisation</li> <li>• Facilitates collaboration across units and recognises outcomes resulting from effective</li> <li>• Builds co-operation and overcomes barriers to sharing across the organisation</li> </ul>  |

|                  |       |   |
|------------------|-------|---|
|                  |       | <ul style="list-style-type: none"> <li>• Facilitates opportunities to develop joint solutions with stakeholders across the region and sector</li> <li>• Models inclusiveness and respect for diversity in people, experiences and backgrounds</li> </ul>  |
| <b>Resources</b> |       |   |
| Finance          | Adept | <ul style="list-style-type: none"> <li>• Uses basic financial terminology appropriately</li> <li>• Considers the impact of funding allocations on</li> <li>• Manages project finances effectively, including budget, timely receipting, billing, collection and variance recognition</li> <li>• Prepares and evaluates business cases with due regard for long term financial sustainability</li> <li>• Applies high standards of financial probity with public monies and other resources</li> <li>• Identifies, monitors and mitigates financial risks</li> </ul> |

\* Focus Capabilities are those judged to be the most important at the time of recruiting to the position. The mix of “focus” capabilities can change over time, reflecting changing work priorities and current team strengths.

### Delegations

Decisions associated with this position are to be made in accordance with the Delegations of Authority (Policy186) approved by the Chief Executive Officer.

### Code of Conduct

All staff are required to adhere to the Code of Conduct (CP25).

### Work Health & Safety

All staff are required to adhere to Council’s WHS&E Responsibilities and Authorities document (REF229) and associated policies and procedures.

### Records Management

All staff are required to comply with Council’s Records and Information Management policies, procedures and guidelines.

### Qualifications and Experience

#### Essential Qualifications

- Relevant Tertiary qualifications or equivalent experience, e.g. Commerce/Business/Auditing
- Qualified Accountant - Chartered or Certified

### Essential Experience

- Highly experienced internal auditor with demonstrated experience at a senior internal audit level.
- Demonstrated knowledge of contemporary internal audit methodologies and standards for financial, risk management, operational, information technology, compliance, performance audits and reporting requirements.
- General understanding of fundamental concepts in accounting, economics, commercial law, taxation, finance and IT.
- Experience interpreting codes of conduct, providing advice and information regarding conflicts of interest and ethical issues and requirements under the ICAC Act and Protected Disclosures Act.

### Desirable Qualifications and or Experience

- Experience in similar role in public/local government organisation.
- Certified Internal Auditor (CIA)

| <b>HUMAN RESOURCES USE (SELECT YES OR NO)</b>  | <b>YES</b>                          | <b>NO</b>                           |
|--|-------------------------------------|-------------------------------------|
| Does this position fall under the definition of child related employment?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| Does this position require incumbent to undergo criminal reference check?  | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| Does this position require incumbent to demonstrate good driving Licence class required: C Class Drivers Licence | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| Will incumbent need to make disclosure of pecuniary interest?  | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| Could there be a conflict of interest with secondary employment?   | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |