

# Role Description

## Senior Internal Auditor

Cluster	Stronger Communities
Agency	Legal Aid NSW
Division/Branch/Unit	Executive Unit
Classification/Grade/Band	Clerk grade 11/12
ANZSCO Code	221214
PCAT Code	1221292
Date of Approval	April 2018-Reviewed 22 August 2023
Agency Website	<a href="http://www.legalaid.nsw.gov.au">www.legalaid.nsw.gov.au</a>

### Agency overview

Legal Aid NSW is the largest legal aid agency in Australia, comprising a Central Sydney office and 28 regional offices in metropolitan and regional centres across NSW and a number of specialist services and advice clinics. It was established under the *Legal Aid Commission Act 1979* as an independent authority to assist economically and socially disadvantaged people to understand and protect their rights in the legal system. People with disabilities, people from culturally and linguistically diverse backgrounds, women and children, Indigenous people and people with mental illness are some of the groups who may experience difficulties when enforcing and defending their rights.

Working in partnership with private lawyers, Legal Aid NSW provides legal advice, information and minor assistance and legal representation to eligible people in many areas of law. Legal Aid NSW also provides alternative dispute resolution services, community legal education programs, and publications on legal issues.

### Primary purpose of the role

The Senior Internal Auditor provides a high level of internal audit consultancy and advisory services for Legal Aid NSW. The Senior Internal Auditor may undertake reviews and risk assessments in accordance with applicable procedures and standards. The role advises and supports the Chief Audit Executive and the Audit and Risk Committee to ensure the effectiveness and appropriateness of internal audit, internal controls, risk management and compliance and governance.

### Key accountabilities

- Co-ordinate the delivery of audit projects by external service providers, including developing and reviewing scope documents in consultation with executive and senior managers.
- Ensure all internal audit work, including audits undertaken internally is completed effectively and efficiently and meet the requirements of the Audit Office's audit methodology, professional standards and legislation.
- Manage and maintain the tracking process to monitor the effective implementation of accepted audit recommendations; follow up on outstanding actions with management and prepare progress reports for the information of the Chief Audit Executive and the Audit and Risk Committee; and/or provide secretariat support to the Audit and Risk Committee
- Contribute to the continuous improvement of Legal Aid NSW's risk management and compliance frameworks and assist the Chief Audit Executive to identify and manage risks and governance issues

- Independently undertake audits and compliance checks of specified areas and identify reportable issues and risks and produce high quality, timely reports and recommendations to mitigate identified risk.
- Provide input into the development of risk based internal audit plans in consultation with the Chief Audit Executive and the Legal Aid NSW Executive
- Identify issues which have the potential to adversely affect outcomes and timeframes and inform the Chief Audit Executive
- Provide advice and coaching to managers and staff in the Professional Practices Branch on the conduct of audits of panel lawyers under Part 3 Division 2 of the *Legal Aid Commission Act 1979*

## Key challenges

- Achieving quality audits within a defined time and budget
- Balancing competing demands and priorities, given limited resources and tight deadlines
- Using professional judgment to solve or escalate problems whilst supporting executives and managers to implement and improve governance and risk management.

## Key relationships

Who	Why
<b>Internal</b>	
Director Legal Services (Chief Audit Executive)	Receive direction and provide expert advice
Executive	Provide expert advice
Staff in other divisions	Provide expert advice, monitor implementation of audit recommendations and collaborate on audit and compliance issues
Chair of the Audit and Risk Committee	Receive guidance, provide advice and respond to enquiries and issues raised in relation to audit activities
<b>External</b>	
External service providers	Coordinate and monitor internal audit engagements

## Role dimensions

### Decision making

The role has a level of autonomy and provides strategic advice to the Chief Audit Executive and the Audit and Risk Committee, the Executive of Legal Aid NSW and managers.

### Reporting line

Director Legal Services

### Direct reports

Staff as determined from time to time

### Budget/Expenditure

Nil

### Essential Requirements






CPA Qualifications or Internal Audit Qualifications or equivalent demonstrated experience

## 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](http://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
	<b>Display Resilience and Courage</b>	<b>Adept</b>
	<b>Act with Integrity</b>	<b>Advanced</b>
	Manage Self	Adept
	Value Diversity	Intermediate
	<b>Communicate Effectively</b>	<b>Advanced</b>
	Commit to Customer Service	Intermediate
	Work Collaboratively	Adept
	<b>Deliver Results</b>	<b>Adept</b>
	Plan and Prioritise	Adept
	<b>Think and Solve Problems</b>	<b>Advanced</b>
	Demonstrate Accountability	Adept
	<b>Finance</b>	<b>Adept</b>
	<b>Technology</b>	<b>Adept</b>
	Procurement and Contract Management	Adept
	Project Management	Advanced
	Manage and Develop People	Intermediate
	Inspire Direction and Purpose	Intermediate
	Optimise Business Outcomes	Intermediate
	Manage Reform and Change	Intermediate

### Focus capabilities (needs to reflect above changes)

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
<b>Personal Attributes</b> Display resilience and courage	Adept	<ul style="list-style-type: none"> <li>• Be flexible, show initiative and respond quickly when situations change</li> <li>• Give frank and honest feedback/advice</li> <li>• Listen when ideas are challenged, seek to understand the nature of the criticism and respond constructively</li> <li>• Raise and work through challenging issues and seek alternatives</li> <li>• Keep control of own emotions and stay calm under pressure and in challenging situations</li> </ul>
<b>Personal Attributes</b>  Act with integrity	  Advanced	<ul style="list-style-type: none"> <li>• Model the highest standards of ethical behaviour and reinforce them in others</li> <li>• Represent the organisation in an honest, ethical and professional way and set an example for others to follow</li> <li>• Ensure that others have a working understanding of the legislation and policy framework within which they operate</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 on reported breaches of rules, policies and guidelines</li> </ul>
<b>Relationships</b> Communicate effectively	Advanced	<ul style="list-style-type: none"> <li>• Present with credibility, engage varied audiences and test levels of understanding</li> <li>• Translate technical and complex information concisely for diverse audiences</li> <li>• Create opportunities for others to contribute to discussion and debate</li> <li>• Actively listen and encourage others to contribute inputs</li> <li>• Adjust style and approach to optimise outcomes</li> <li>• Write fluently and persuasively in a range of styles and formats</li> </ul>
<b>Results</b> Deliver results	Adept	<ul style="list-style-type: none"> <li>• Take responsibility for delivering on intended outcomes</li> <li>• Make sure team/unit staff understand expected goals and acknowledge success</li> <li>• Identify resource needs and ensure goals are achieved within budget and deadlines</li> <li>• Identify changed priorities and ensure allocation of resources meets new business needs</li> <li>• Ensure financial implications of changed priorities are explicit and budgeted for</li> <li>• Use own expertise and seek others' expertise to achieve work outcomes</li> </ul>

<b>Results</b>		
Think and solve problems	Advanced	<ul style="list-style-type: none"> <li>Undertake objective, critical analysis to draw accurate conclusions that recognise and manage contextual issues</li> <li>Work through issues, weigh up alternatives and identify the most effective solutions</li> <li>Take account of the wider business context when considering options to resolve issues</li> <li>Explore a range of possibilities and creative alternatives to contribute to systems, process and business improvements</li> <li>Implement systems and processes that underpin high quality research and analysis</li> </ul>
<b>Business Enablers</b>		
Finance	Advanced	<ul style="list-style-type: none"> <li>Apply a thorough understanding of recurrent and capital financial terminology, policies and processes to planning, forecasting and budget preparation and management</li> <li>Identify and analyse trends, review data and evaluate business options to ensure business cases are financially sound</li> <li>Assess relative cost benefits of direct provision or purchase of services</li> <li>Understand and promote the role of sound financial management and its impact on organisational effectiveness</li> <li>Involve specialist financial advice in review and evaluation of systems and processes used to identify opportunities for improvement</li> <li>Respond to financial and risk management audit outcomes, addressing areas of non-compliance</li> </ul>
<b>Business Enablers</b>		
Technology	Adept	<ul style="list-style-type: none"> <li>Demonstrate a sound understanding of technology relevant to the work unit, and identify and select the most appropriate technology for assigned tasks</li> <li>Identify opportunities to use a broad range of communications technologies to deliver effective messages</li> <li>Understand, act on and monitor compliance with information and communications security and use policies</li> <li>Identify ways to leverage the value of technology to achieve team/unit outcomes, using the existing technology of the business</li> <li>Support compliance with the records, information and knowledge management requirements of the organisation</li> </ul>

### NSW Public Sector Capability Framework (Occupational Specific Capabilities)

Group and Capability	Level	Behavioural Indicators
Finance Audit and Assurance	Level 4	<ul style="list-style-type: none"> <li>Establish audit plans and required audit processes for substantial and complex audits, including documentation and reporting requirements</li> <li>Review and evaluate findings and recommendations with audit staff and executives and present these to executive management and the Audit and Risk Committee</li> <li>Develop strategies for improved audit and compliance outcomes with the organisation</li> </ul>

- Apply comprehensive auditing techniques and provide technical quality assurance to reinforce the adequacy of audit tests and validation
  - Recommend controls and compliance strategies to better enable efficient management of business and financial risks
  - Identify trends and innovations in professional audit practice which can be implemented to improve audit efficiency and effectiveness for the organisation
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