



Statement of Duties

Position Title:	Senior Financial Auditor
Vacancy Number:	Various
Award/Agreement:	Tasmanian State Service Award
Classification Level:	Professional Stream Band 2
Employment Status:	Fixed-Term – Up to 36.75x hours per week (flexible) - Talk to us about how this could work for you. We are open to considering a range of flexible work options including part-time hours
Location:	Hobart/Launceston
Business Unit:	Financial Audit Services
Reports To:	Director Financial Audit Services
Direct Reports:	Financial Auditors, Graduates and Cadets

It is strongly recommended when applying for positions with the Tasmanian Audit Office that this document is read in conjunction with the Applicant Information Kit.

Organisational Context

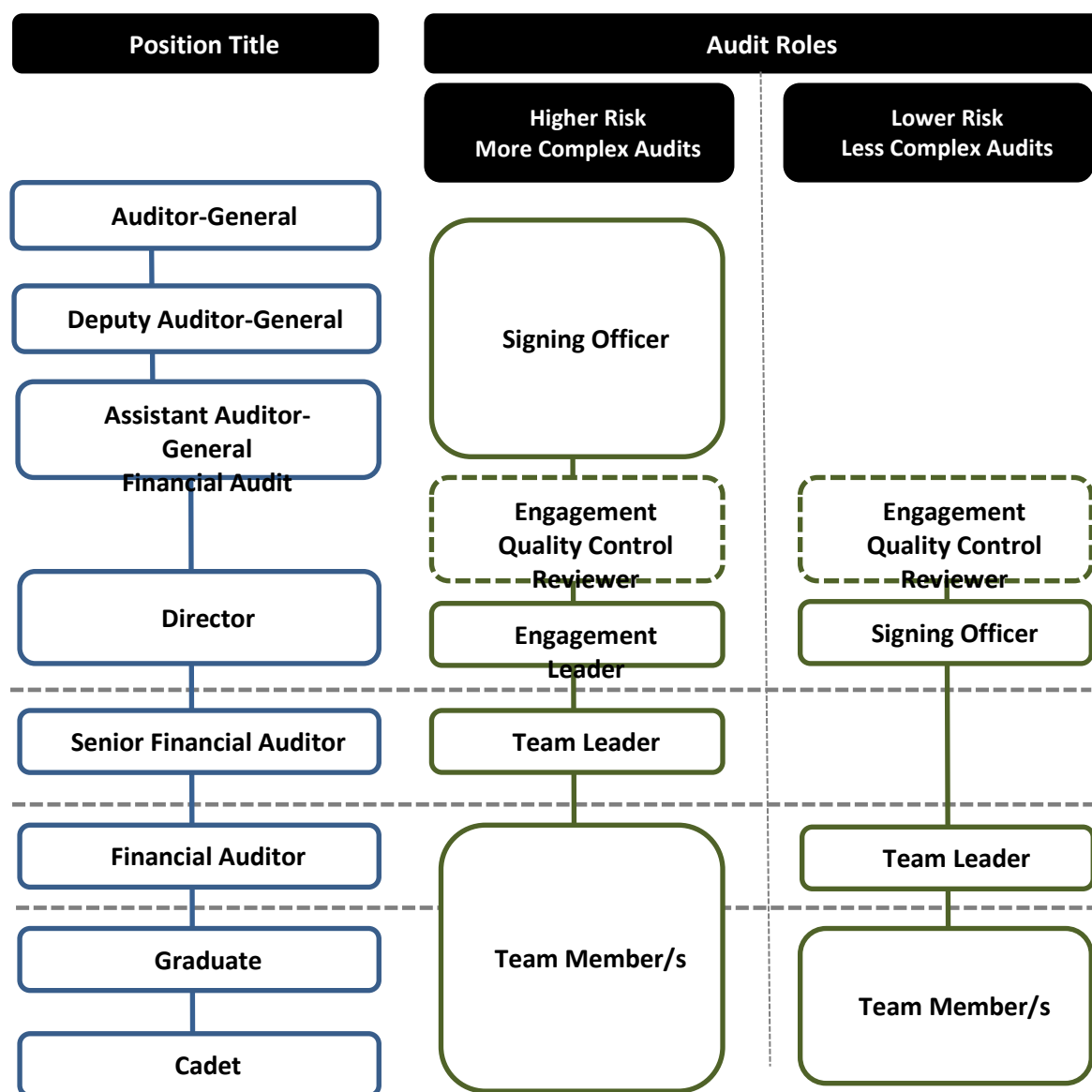
The Auditor-General's role is governed by the *Audit Act 2008* (Audit Act). It sets out the Auditor General's functions, mandate and powers and governs the means by which the Auditor-General and his Office undertake attest, performance and other audits and investigations and report to Parliament.

The Financial Audit Services business unit (FAS) delivers the Office's financial audit program, which covers:

- Carrying out audits of the financial statements of the Treasurer and of all State entities, grant acquittal audits and other financial attest audits.
- Undertaking projects aimed at enhancing the degree of confidence in financial management and reporting by State entities.
- Reporting to Parliament on matters arising from those audits, analysis of financial results and other activities in accordance with relevant legislation.

Work within FAS is undertaken in a model where each team is allocated work. The work is then assigned to members of the team and team members at all levels undertake a variety of roles depending on the risk level and complexity of the allocated work.

Team Structure and Audit Roles



Purpose of Position

The Financial Audit Services business unit (FAS) delivers the Office's statutory financial audit program. This results in the issue of audit opinions, Management Letters and reports to Parliament analysing financial results and audit findings aimed at providing Parliament with independent advice and recommendations on the performance of State Entities.

As a professional, the incumbent applies financial and people management skills and knowledge to audit State Entities assigned to them (assigned audits). This role is pivotal in ensuring completion of all assigned audits in accordance with prescribed standards, agreed deadlines and consistent with the Office's strategic objective of improving public sector accountability. As the main contact for senior managers in client organisations, the incumbent is responsible for ensuring customer needs are met.

This position predominately undertakes the role of Team Leader, as defined in the Office's audit methodology, for financial audits assigned to the incumbent.

The allocation of audits and assignment of Team Leader roles occur as part of the annual audit process prior to the commencement each audit cycle.

Nature and Scope (Level of Responsibility)

This is a professional position with a strong client relationship focus. This may involve on-going communication, attending key meetings, including Audit Committees and Boards, to discuss audit plans, issues and clearing the financial report. The incumbent is responsible for the execution of assigned financial audits. As Team Leader on assigned audits the incumbent is personally involved in developing the audit strategy and budget for each audit as well as certain aspects of the finalisation process. The incumbent monitors audit progress and significant issues, including potential Parliamentary report matters and makes recommendations to clients on how to improve accounting practices. Before an audit opinion is issued ensures there is sufficient audit evidence and there has been appropriate consultation on contentious matters. The incumbent reviews material prepared by team members on assigned audits and is involved with on-the-job training of less experienced staff.

The incumbent will use their technical expertise to interpret accounting and auditing standards, other pronouncements and legislation providing written reports and opinions based on these interpretations. Documented findings, opinions, reports and recommendations are submitted to senior management for review. Specific reviews or investigations may also be conducted at the request of the Auditor-General.

Major demands stem from the wide range of organisations, topics and accounting standards dealt with, competing deadlines, client and unit member requirements and Office needs. The communications focus of the position is on conveying, explaining and clarifying information, concepts and ideas to clients and achieving negotiated outcomes with them.

Key Duties

1. Monitor and effectively manage assigned audits within agreed or set timeframes, budgets standards of performance and accountability.
2. As a main contact for senior management of assigned audits establish a rapport with clients based on professional relationships and respect for roles and responsibilities, ensure they are kept informed of the progress of audits, prepare and provide reports, opinions, correspondence and presentations to clients and seek to resolve differences of opinion.
3. For the assigned financial audits undertake the Team Leader role as defined in the Office's financial audit methodology.
4. Provide audit teams and individuals regular constructive feedback through timely reviews of their work against planned procedures and standards, signing-off as necessary in the audit file, and manage on-the-job performance in accordance with the Office's performance management system, including under performance.
5. Advise the engagement leader, signing officer, engagement quality control reviewer and client management of issues in a timely manner and offer solutions.
6. Provide high level technical advice to senior client management and Audit Office staff for issues encountered, developing solutions based on interpretation of standards, Treasurers Instructions and legislative requirements.
7. Utilise current information technology and computer systems to complete audit work, analyse data and prepare reports.

8. Ensure audit team members work in a safe and secure environment including promoting support and respect of individual and organisational differences taking action to respond to and prevent disrespect, harassment or bullying.
9. In consultation with clients, prepares drafts for the Auditor-General's Report to Parliament.
10. If required, assists in the management and development of less experienced staff.

Performance is measured against Key Performance Indicators that are developed and agreed to for each role in the Office and documented in annual Performance Plans.

Selection Criteria (Key Competencies)

Please refer to the document titled "Applicant information kit" for advice on how to address the selection criteria.

1. Understanding Customer Needs & Drivers

Understanding individual customer needs and their drivers and identifying appropriate responses that look beyond the short term.

2. Negotiates & Persuades

Achieving mutually satisfactory outcomes and gaining agreement with customers and others through objective, firm and tactful verbal persuasion and through written products (reports, work papers, memorandums and correspondence) that are fluent and make the desired impact.

3. Self Development & Responsibility for Actions

As a result of seeking out and utilising learning opportunities, taking new and unique concepts, strategies and approaches and applying them for positive results. Accepting responsibility for identifying and addressing personal development needs and ensuring that dealings with other people show courtesy, respect and an awareness of individual differences.

4. Problem Solving & Analysis

Identifying key issues in a problem, selecting or conducting appropriate research, analysis and evaluation and adapting or developing methodology to achieve this. Knowing when to refer a problem elsewhere.

5. Adapts to Change

Demonstrating flexibility by changing plans, approach and focus to effectively respond to changed circumstances in terms of new ideas and ways of working.

6. Organising

Setting short and medium term targets, priorities and schedules to meet business goals and planning, organising and coordinating resources to meet them.

7. Understanding & Application of Technical Knowledge (Professional)

Applying strong technical skills to critically evaluate and comment on relevant information and issues. Identifying key issues, trends and inconsistencies and their implications for the business.

It should be noted that the above key competencies have equal weighting for assessment purposes. The essential qualifications and requirements must be met. You should not be discouraged from applying if

you do not meet the desirable requirements, as you would not be precluded from appointment to the position, provided all of the key competencies and essential requirements are met.

Essential Qualifications and Requirements:

- A tertiary qualification at degree level in a relevant discipline from a recognised tertiary institution.

The Head of the State Service has determined that the person nominated for this position is to satisfy a pre-employment check before taking up the appointment, promotion or transfer. The following checks are to be conducted:

1. Conviction checks in the following; Arson and fire setting; Violent crimes and crimes against the person; Sex-related offences; Drug and alcohol related offences; Crimes involving dishonesty; Crimes involving deception; Making false declarations; Malicious damage and destruction to property; Serious traffic offences; Crimes against public order or relating to the Administration of Law and Justice; Crimes against Executive or the Legislative Power; Crimes involving Conspiracy.
2. Disciplinary action in previous employment check.
3. Identification check.

Desirable Qualifications and Requirements:

- Driver's Licence.

Criteria for Advanced Assessment Point:

Refer to the [Salary Progression, Accelerated Progression and Advanced Assessment Guidelines 2015](#) and relevant Office policies.

On the attainment of the criteria for the advancement assessment point the employee will be assigned duties with greater responsibility that conform with the classification descriptors for the Band.

Special Requirements

- Significant out of hours work may be required during the peak audit period (i.e. July to October) and some work outside normal hours may be required at other times. Staff have access to flexitime through the year and can accrue excess hours during the peak audit period in accordance with an Excess Hours Agreement or with the Tasmanian State Service Award.
- Generally, periods of leave will not be granted from July to October.
- May be required to undertake intrastate/interstate travel.
- May be assigned to other locations within the Office to perform work of a similar nature.

Environment and Context

Employment in the State Service is governed by the *State Service Act 2000*. Employees should familiarise themselves with the State Service Principles (view at the [Tasmanian Legislation](#) website) and must work to ensure the Principles are embedded into the culture of the Tasmanian Audit Office (TAO) and that the Principles are applied to decision making and activities.

The State Service Code of Conduct (view at the [Tasmanian Legislation](#) website) complements the State Service Principles and requires employees and officers to act appropriately in the course of their duties and to maintain the confidence of the community in the activities of the State Service. In addition,

employees of the TAO are required to act in accordance with the Guide to Conduct and Statement of Values of the TAO, and sign an agreement indicating that they understand this requirement.

TAO promotes equity in employment. It provides workplaces that are free from discrimination and it recognises and utilises the diversity of the community it serves. In doing this it acknowledges the individual differences that can contribute to the capacity of a person to perform the inherent requirements of the job.

TAO is committed to high standards of Work Health and Safety and all employees are expected to maintain safe working conditions and practices in accordance with their responsibilities under the *Work Health and Safety Act 2012*. Smoking is prohibited in State Government workplaces and vehicles.

Employees can expect to work extensively with screen based equipment in accordance with the TAO Privacy and Information Management policies. All employees are responsible and accountable to create records according to the business needs and business processes of their business unit that adequately document the business activities in which they take part. They must register documents in an approved Business Information Management System. Information should be accessed for legitimate work purposes only. All employees must not destroy delete or alter records without proper authority or remove information, documents or records from the Office without permission.

Approval

Prepared by: Anne Cunningham	Classification Approved by: Ric De Santi	Statement of Duties Approved by: Mike Blake
Title: Senior Executive Officer	Title: Chief Operating Officer	Title: Auditor-General
Date: 23 October 2015	Date: 23 October 2015	Date: 23 October 2015