



POSITION DESCRIPTION

POSITION TITLE:		Internal Control and Compliance Officer			
POSITION NO:		100462	CLASSIFICATION:		Band 7
DIVISION:		Corporate, Business and Finance			
BRANCH:		Finance			
REPORTS TO:		Chief Financial Officer			
POLICE CHECK REQUIRED:	Yes	WORKING WITH CHILDREN CHECK REQUIRED:	No	PRE-EMPLOYMENT MEDICAL REQUIRED:	No

Yarra City Council is committed to being a child safe organisation and supports flexible and accessible working arrangements for all.

This includes people with a disability, Aboriginal and Torres Strait Islanders, culturally, religiously and linguistically diverse people, young people, older people, women, and people who identify as gay, lesbian, bisexual, transgender, intersex or queer.

We draw pride and strength from our diversity, remain open to new approaches and actively foster an inclusive workplace that celebrates the contribution made by all our people.

POSITION OBJECTIVE

The Internal Control and Compliance Officer is responsible for adding value to Council's operations by evaluating the adequacy and effectiveness of the organisation's systems of internal controls and enhancing the level of audit committee reporting. Specific objectives of the position include:

- Providing an internal compliance and audit service that strengthens Council's control systems and level of compliance with established policies and procedures, undertaking spot audits to evaluate this.
- Reviewing the financial risk assessments and the internal controls in place within Council and recommending improvements.
- Develop, implement and periodically review strategies, policies, standards and procedures in relation to financial risk management, including strategic, operational and project financial risks.

ORGANISATIONAL CONTEXT

Council is committed to efficiently and effectively servicing the community to the highest standards; protecting, enhancing and developing the City's physical and social environment and building the population and business base. A major imperative of the Organisation is the introduction of a competitive business culture with an emphasis on continuous improvement and best practice, underpinned by a strong internal control and compliance framework.

The role sits within the Finance Branch, which contributes directly to the achievement of Council's goals and the Council Plan. The incumbent is required to pursue Unit, Branch, and Divisional goals through effective team work and with colleagues in other divisions; developing sound working relationships with a range of internal and external parties.

ORGANISATIONAL RELATIONSHIP

Position Reports to:	Chief Financial Officer (CFO)
Position Supervises:	No direct reports
Internal Relationships:	All Departments
External Relationships:	Internal Auditors, Audit Committee, Government agencies, Other councils

KEY RESPONSIBILITY AREAS AND DUTIES

- Reviewing, analysing and reporting on the efficiency and effectiveness of existing internal control systems and procedures and recommending changes.
- Undertake/conduct spot checks and pro-active reviews on processes and systems involving financial transactions.
- Develop and implement an internal compliance review schedule incorporating policy requirements, delegations and statutory responsibilities, including development of scoping for reviews to be undertaken.
- Assist with administration of Council's Audit Committee process, compilation of reports from various internal and external sources, and management of Audit Committee actions (including directions from Audit Committee and recommendations made by internal and external auditors and other regulatory bodies).
- Administration and co-ordination support for Council's contracted internal audit functions.
- Monitor and report on the progress of Council's strategic internal/performance audit plan to management and Council's Audit Committee.
- Coordinate and report on Council's responses to agreed actions resulting from internal Audit reports.
- Undertake special projects and internal compliance reviews as requested.

ACCOUNTABILITY AND EXTENT OF AUTHORITY

- Carry out the compliance and audit function in accordance with an agreed program and ongoing schedules of reviews ensuring a high standard of governance is achieved and maintained within Council.
- Take a pro-active approach to the identification of issues requiring internal audit assessment whether identified in compliance and audit plans/program or not.
- Perform duties as outlined in this PD with high degree of independence.
- Ensure audit planning and programs are consistent with Council's Community Plan and Corporate Plan objectives, together with annual budgets and strategic directions.
- Accountable for ensuring compliance and preventing issues of non-compliance in financial systems and procedures.
- Freedom to act is subject to professional and regulatory review, actions and advice may have significant effects on financial and compliance outcomes.
- Review, develop and implement policies, procedures, and practices across the organisation.

Safety & Risk

- Minimise risk to self and others and support safe work practices through adherence to legislative requirements and Council policies and procedures.
- Report any matters which may impact on the safety of Council employees, community members, or Council assets and equipment.
- Yarra City Council is committed to prioritising and promoting child safety. We adhere to the Victorian Child Safe Standards as legislated in the Child, Wellbeing and Safety Act 2005 and have robust policies and procedures in order to meet this commitment.

Sustainability

- Embrace the following Sustaining Yarra principles through day to day work:
 - Protecting the Future
 - Protecting the Environment
 - Economic Viability
 - Continuous Improvement
 - Social Equity
 - Cultural Vitality
 - Community Development
 - Integrated Approach

Yarra Values

- Behave according to the following values which underpin our efforts to build a service based culture on positive relationships with colleagues and the community:
 - Respect
 - Accountability
 - Courage

JUDGEMENT AND DECISION MAKING

- Guidance and advice are not always available in the organisation and leadership and decision making is required.
- Required to exercise independent judgement and adaptability in evaluating and deciding on appropriate methods, procedures, policies and practices for achieving objectives and in reviewing and recommending improvements to those methods, procedures and practices.
- Judgment and decision making in achieving clearly defined objectives is governed by guidelines and policy of Council.
- Judgement will be made on the degree of financial risk, potential exposure of Council and the extent of non-compliance within the organisation.
- Required to assess and make judgements on questions of ethics.
- Required to evaluate and make judgements about the content and structure of the internal compliance function.
- Required to be independent of the activities which are audited, analysed or reviewed to ensure impartiality and unbiased judgement.
- Required to make judgements on potential areas of financial risk or non-compliance and refer accordingly.

SPECIALIST SKILLS AND KNOWLEDGE

- Strong knowledge and experience of internal/performance audit principles, procedures and techniques.
- Good knowledge and experience of financial risk management principles.
- Strong analytical and research skills in policy formation.
- Well-developed planning and organisational skills.
- Project management and meeting facilitation skills.
- Understanding of the role of internal audit frameworks in large organisations.
- A self-starter showing initiative and commitment to achieving outcomes.
- A thorough knowledge of management principles required to recognise and evaluate the materiality and significance of deviations from good financial, business and governance practices.
- Knowledge and familiarity of principles and practices of budgeting, accounting, economics, finance and IT.
- Understanding the importance of organisational values and the legal and political context of Local Government.

MANAGEMENT SKILLS

- Highly effective skills in managing time, setting priorities and planning and organising your work to achieve specific and set objectives in the most efficient way possible, despite conflicting pressures.
- Ability to interpret and apply relevant legislation in the organisational context.
- Ability to prepare reports for the Chief Financial Officer on policy recommendations and progress and performance of operations of the Unit, as requested/required.
- Ability to develop clear program objectives which will enhance the organisation's policies and practices in relation to financial risk, to undertake regular reviews of existing programs to evaluate their relevance and effectiveness in meeting those objectives.
- Ability to manage change in an environment of resource constraint.
- Ability to solve problems through discussion, negotiation and team work.
- Ability to represent Council at relevant meetings and forums.
- Lead the provision of quality and customer service, promoting a strong customer service orientation developing innovative programs to meet expectations.
- Capacity to effectively manage and influence people and outcomes to enhance business outcomes.

INTERPERSONAL SKILLS

- Highly effective interpersonal skills, incorporating effective communication verbally and in writing, liaison, problem solving, influencing and facilitation skills.
- Capacity to seek and gain co-operation from internal and external clients to achieve position objectives and positive outcomes.
- Ability to build and maintain relationships across various departments and other organisations to resolve specialist problems.
- Ability to maintain excellent public relations on all occasions and the ability to present to the Audit & Risk Committee.
- Commitment to providing excellence in customer service.

QUALIFICATIONS AND EXPERIENCE

- Degree or Diploma in accounting, commerce, business or a related discipline, with several years relevant experience
- Direct customer service experience relating to working with others on compliance and audit.
- Experience in data manipulation, analysis and interrogation.
- High level of skill in stand-alone applications, including advanced skills in MS Excel, Access, Project Management and Word.
- Proven ability to develop financial processes, policies and procedures to align with best practice and continuous improvement.
- Proven ability to drill down and undertake assessments of compliance with policies and frameworks.
- Post-Graduation Qualifications or qualified auditor/accountant preferably CPA/CA qualified (desirable).

KEY SELECTION CRITERIA

- Extensive knowledge and experience of internal/performance audit principles, procedures and techniques and its role in large organisations.
- Thorough knowledge of principles required to recognise and evaluate internal control frameworks and respond to deviations from good financial, business and governance practices.
- Highly effective interpersonal skills, incorporating effective communication verbally and in writing, liaison, problem solving, influencing and facilitation skills.
- Advanced ability to drill down and undertake assessments of compliance with processes, policies and procedures.
- Highly effective analytical and research skills and experience.
- Strong experience in data manipulation, analysis and interrogation.