



GOVERNMENT
COMMUNICATIONS
SECURITY BUREAU
TE TIRA TIAKI

POSITION DESCRIPTION

Senior Compliance and Policy Auditor

Unit/Branch, Directorate: Compliance & Risk, Office of the Director-General

Location: Wellington

Salary range: I \$93,497 - \$140,245

Purpose of position: The role is to lead in the assessment of GCSB's success at complying with the legislation and policies governing GCSB's operational activities and to provide recommendations and assistance to operational units that aids them to meet their legal and policy commitments. The senior Compliance and Policy Auditor will lead in delivering the audit function within the Compliance and Risk Unit.

Our mission at the GCSB is to protect and enhance New Zealand's security and wellbeing.

Our values are Respect, Commitment, Integrity and Courage

Office of the Director purpose: The Office of the Director-General supports the Director-General to lead the GCSB in achieving its operational and strategic goals, by providing advice and coordination of strategic policy, risk and assurance, compliance and legal activities.

The Office of the Director-General works in partnership with the Joint Directors-General office.

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Key accountabilities	Deliverables/Outcomes
<p>Conducting of operational compliance</p> <ul style="list-style-type: none"> Plan and allocate the conduct of individual operational audits to ensure that all audits programmed in the annual audit plan are completed Draft written audit reports and agree actions with line managers that address identified areas of non-compliance, risk or inefficiency, as well as highlighting areas of good practice Responsible for conduct of complex audits Review audit reports drafted by other members of the team to ensure quality of reporting with a particular focus on usefulness of recommendations Provision of audit reports to the Office of the Inspector-General of Intelligence and Security Coaching and mentoring of audit team to develop their operational knowledge or audit skills 	<ul style="list-style-type: none"> Audits as programmed in the annual audit plan are completed within the audit year Audit reports inform continuous improvement with useful recommendations provided to relevant Tier 2 managers Feedback is provided to relevant operational managers Inspector-General of Intelligence and Security receives audit reports in timely manner once relevant Tier 2 Manager has acknowledged recommendations Other audit team members feel supported in conducting audits
<p>Tracking and reporting of progress against audit recommendations</p> <ul style="list-style-type: none"> Develop and maintain an up-to-date list of recommendations which arise from the conduct of operational audits Monitor progress against accepted recommendations and keep Manager Compliance and Risk updated on these Preparation of regular reporting to the SLT of progress against audit plan 	<ul style="list-style-type: none"> A full list of recommendations is maintained including records of acceptance by the relevant Tier 2 Manager Progress against accepted recommendations is monitored and reporting on this provided to the Manager Compliance and Risk SLT receives regular updates on progress against the audit plan
<p>Management of annual audit plan</p> <ul style="list-style-type: none"> Development of an annual audit plan of mission activity that prioritises the assessment of all significant areas of compliance, including adherence to warrants, authorisations, internal policy and processes Identification of potential areas for audit arising from compliance incidents or requests for compliance advice The plan is prioritised to reflect the associated risk profile of GCSB operational activities and includes reviews to measure progress against implementation of 	<ul style="list-style-type: none"> Potential areas for operational audit are identified through consultation with the Compliance team, SLT and Tier 3 managers The audit plan provides assurance to SLT and Tier 3 managers. An Audit plan which reflects risk profile is prepared for consideration by the SLT The SLT has a good awareness of audit results across the organisation. This information can be used by the Manager Compliance and Risk to direct future audit activity

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<p>previous audit recommendations</p> <ul style="list-style-type: none"> • Progress against the delivery of the audit plan is monitored and priorities are revalidated regularly throughout the year 	
<p>Investigation and Reporting</p> <ul style="list-style-type: none"> • Investigating compliance incidents • Drafting of investigation reports including development of recommendations 	<ul style="list-style-type: none"> • Areas for improvement in training or through updates to policy are identified as part of investigations • Compliance surveys and investigations are conducted in a thorough and professional manner • Areas for improvement in training or through updates to policy are identified as part of investigation
<p>Health and safety (for self)</p> <ul style="list-style-type: none"> • Work safely and take responsibility for keeping self and colleagues free from harm • Report all incidents and hazards promptly • Know what to do in the event of an emergency • Cooperate in implementing return to work plans • Be a visible role model at all times <p>Health and safety (for team):</p> <ul style="list-style-type: none"> • Inform, train and equip staff to carry out their work safely • Ensure prompt and accurate reporting and investigation of all workplace incidents and injuries • Assess all hazards promptly and ensure they are managed 	<ul style="list-style-type: none"> • A safe and healthy workplace for all people using our sites as a place of work • All requirements in the NZIC Health and Safety policy and procedures are met
<p>Other duties</p>	<p>Any other duties that fall within the scope of the position</p>

Position delegation	
Financial delegation:	None

Key stakeholders	
Internal:	<ul style="list-style-type: none"> • Legal Team • Technology Directorate

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External:	<ul style="list-style-type: none"> • New Zealand Government departments and agencies as necessary • New Zealand Security Intelligence Service Compliance and Risk Team
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Person Specification	
Experience:	<ul style="list-style-type: none"> • Either of the following two specifications is essential for the role: <ul style="list-style-type: none"> • 7+ years' experience in at least one operational directorate within GCSB, preferably in both directorates. Ability to gain audit qualification within first year in role • Lead auditor qualification and 5+ years' experience in a lead auditor role within an operationally-focussed/operational organisation • Experience in training or coaching is desirable
Knowledge and Skills:	<ul style="list-style-type: none"> • Ability to understand complex technical issues • Knowledge of audit methodology and experience in conducting audit is desirable • A demonstrated interest in the development of compliance procedures at an operational and organisational level • Ability to build and maintain relationships at all levels • Excellent customer management skills • Able to prioritise and manage workload independently • Excellent written and oral communication skills • Capable of working under pressure • Excellent prioritisation under pressure
Qualifications and Courses:	<ul style="list-style-type: none"> • Tertiary Degree in a relevant area, or equivalent level of learning through experience • ISO-9001 Lead Auditor qualification is desirable
Specific Job Requirements:	<ul style="list-style-type: none"> • Ability to obtain and maintain a TSS security clearance

NZIC Competencies

In addition to the Person Specification above, competency standards which outline the development requirements of the position are set out under the NZ Intelligence Community (NZIC) Career Pathways framework. The Career Pathways framework enables progression within the job.

Full descriptions of progression competencies and an overview of the NZIC Career Pathways framework is available on appointment.

The position is aligned to the Frontline Leader competency framework.

Changes to Position Description

Positions in the GCSB may change over time as the organisation develops. Therefore we are committed to maintaining a flexible organisation structure that best enables us to meet changing market and customer needs. Responsibilities for this position may change over time as the job evolves. This Position Description may be reviewed as part of planning for the annual performance cycle.

Date PD reviewed: 15/08/2019

Signatures		
Manager's Name		
Signature		Date:
Employee's Name		
Signature		Date: