



# Job description

Haere mai

This job description is your go-to place for all the ins and outs of this role at Internal Affairs

## AML Regulator

### AML Directorate, Regulatory Services, PRC

As one of Government's larger regulators, Regulatory Services aims to minimise harm and maximise benefits through effective oversight of anti-money laundering and countering financing terrorism, gambling, anti-spam and censorship regulatory systems. We are a responsive risk-based regulator that uses innovation and collaboration to maximise our impact to achieve desired outcomes for New Zealand communities.

As an AML Regulator in Regulatory Services you will contribute to our role as a supervisor of certain financial businesses under the Anti-Money Laundering and Countering Financing of Terrorism (AML/CFT) Act. We are a responsive regulator and our goals are to minimise the harms caused by money laundering and financing of terrorism, and increase the trust and confidence in the businesses we supervise (our regulated sector). The AML Regulator achieves this by contributing to the delivery of robust, risk-based, well-informed, and targeted, supervision, education, and compliance monitoring of our regulated sector.

- **Reporting to:** Manager Operations
- **Location:** Wellington/Auckland
- **Salary range:** Regulatory G

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### What we do matters – our purpose

Our purpose is to serve and connect people, communities and government to build a safe, prosperous and respected nation.

In other words, it's all about helping to make New Zealand better for New Zealanders.

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### How we do things around here – our principles



#### We make it easy, we make it work

- Customer centred
- Make things even better

#### We're stronger together

- Work as a team
- Value each other

#### We take pride in what we do

- Make a positive difference
- Strive for excellence



**Te Tari Taiwhenua**  
**Internal Affairs**

## Working effectively with Māori

Te Aka Taiwhenua – our Māori Strategic Framework – enables us to work effectively with Māori. Te Aka Taiwhenua is underpinned by our mātāpono – Kotahitanga, Manaakitanga, Whānaungatanga, He Tāngata.

As DIA is an agent of the Crown, Te Tiriti o Waitangi/The Treaty of Waitangi is important to everything we say or do. We recognise it as an enduring document central to New Zealand’s past, present and future. Building and maintaining meaningful relationships is important to work effectively with Māori, stakeholders and other agencies. We accept our privileged role and responsibility of holding and protecting the Treaty of Waitangi / Te Tiriti o Waitangi.

What you will do to contribute	As a result we will see
<p><b>Relationship Management and Communications</b></p> <ul style="list-style-type: none"> <li>• Build and maintain effective relationships within the sector and with other stakeholders to learn about the sector, and appropriately influence compliance, best practice, and the Department’s reputation as an effective regulator.</li> <li>• Engage positively and build effective relationships within the team, across the wider Regulatory Services Group, and with partner agencies.</li> <li>• Participate in stakeholder meetings, help prepare and deliver presentations, and take opportunities for informal education of the sector, providing sound and lawful advice.</li> <li>• Seek to understand diverse business practices and cultures across a range of business sectors, demonstrate sensitivity where cultural differences or languages are present.</li> </ul>	<ul style="list-style-type: none"> <li>• Sector stakeholders report that they receive good information on how to comply with their responsibilities under the AML/CFT Act and are supported to do so</li> <li>• Effective working relationships with internal and external stakeholders</li> </ul>

What you will do to contribute	As a result we will see
<p><b>Compliance activities</b></p> <ul style="list-style-type: none"> <li>Undertake reviews of reporting entities including analysing documentation, undertaking site visits, conducting interviews, and producing reports to assess compliance with the AML/CFT Act in accordance with relevant procedures and performance indicators, and the team’s risk-based approach.</li> <li>Make recommendations on interventions to address non-compliance as a responsive regulator; sanction actions are completed in accordance with relevant processes and performance indicators.</li> <li>Contribute to projects, business planning and improvement, and risk assessments/tools, focusing on key objectives and outcomes and making the best use of available resources.</li> <li>Build/maintain AML/CFT subject matter and technical expertise, including an understanding of the Department’s role within the New Zealand regime, and wider international context.</li> <li>Contribute to the identification, collection, and sharing of information and intelligence.</li> </ul>	<ul style="list-style-type: none"> <li>Compliance activities and interventions are risk-based and carried out to a high standard according to relevant procedures and performance indicators</li> <li>AML/CFT information and intelligence appropriately recorded and shared</li> </ul>
<p><b>Investigations</b></p> <ul style="list-style-type: none"> <li>Carry out investigations, or assist the Regulatory Investigations Team, in accordance with relevant processes and performance indicators.</li> <li>Participate in cross-agency and cross-function investigations if required.</li> </ul>	<ul style="list-style-type: none"> <li>Investigations are conducted to a high standard according to relevant processes and performance indicators</li> </ul>
<p><b>Risk Management</b></p> <ul style="list-style-type: none"> <li>Alert manager to any risks (real or potential) that may impact on the team’s ability to meet its deadlines, goals, commitments to others, or damage the Department’s reputation.</li> </ul> <p>Contribute to the development of effective risk mitigation strategies.</p>	<ul style="list-style-type: none"> <li>The manager receives timely alerts to any real or potential risks</li> <li>Risks are managed in accordance with agreed risk management strategies</li> </ul>
<p><b>Health and safety (for self)</b></p> <ul style="list-style-type: none"> <li>Work safely and take responsibility for keeping self and colleagues free from harm</li> <li>Report all incidents and hazards promptly</li> <li>Know what to do in the event of an emergency</li> <li>Cooperate in implementing return to work plans</li> </ul>	<ul style="list-style-type: none"> <li>A safe and healthy workplace for all people using our sites as a place of work.</li> <li>Health and safety guidelines are followed</li> </ul>

Who you will work with to get the job done		Advise	Collaborate with	Influence	Inform	Manage/lead	Deliver to
Internal	Manager Operations	✓	✓	✓	✓		✓
	Operations Staff	✓	✓	✓	✓		
	Other Regulatory Services staff	✓	✓	✓	✓		
	Legal Services	✓	✓	✓	✓		
External	Minister of Internal Affairs	✓			✓		
	Other government agencies	✓	✓	✓	✓		
	Reporting entities, sector interest groups, and providers	✓	✓	✓	✓		

Your delegations	
Human Resources and financial delegations	Level Z
Direct reports	0
Statutory powers	Anti-Money Laundering and Countering Financing of Terrorism Act 2009 in accordance with the departmental delegations policy and delegations schedule

Your success profile for this role	What you will bring specifically
<p>At DIA, we have a Capability Framework to help guide our people towards the behaviours and skills needed to be successful. The core success profile for this role is <a href="#">Specialist</a>.</p> <p><b>Keys to Success:</b></p> <ul style="list-style-type: none"> <li>• Problem solving</li> <li>• Critical thinking</li> <li>• Interpersonal savvy</li> <li>• Navigating complexity</li> <li>• Communicating with influence</li> <li>• Technical and specialist learning</li> </ul>	<p><b>Experience:</b></p> <p>Experience in risk-based compliance monitoring/audit; criminal/fraud investigation; accounting; risk management; law</p> <ul style="list-style-type: none"> <li>• Competence in investigations and in preparation of evidential or factual accounts</li> </ul> <p><b>Knowledge:</b></p> <ul style="list-style-type: none"> <li>• A sound understanding of regulatory and compliance functions and purpose understanding of the public sector environment</li> </ul> <p><b>Skills:</b></p> <ul style="list-style-type: none"> <li>• Ability to interpret legislation and other technical information and apply it in an operational context</li> <li>• Ability to engage with and influence a diverse range of stakeholders</li> <li>• Excellent verbal and written communication skills</li> </ul>

Your success profile for this role	What you will bring specifically
	<p><b>Other requirements:</b></p> <ul style="list-style-type: none"><li>• A relevant tertiary qualification is highly desirable.</li><li>• High standards of integrity and ethical conduct.</li><li>• 20 years of age or over as entry to casinos may be required.</li><li>• This role may require travel within New Zealand and periods working away from Wellington.</li><li>• This position is expected to be appointed as a Enforcement Officer under the Anti Money Laundering and Countering Financing of Terrorism Act 2009 and may exercise any powers and subject to any conditions associated with that statutory role</li><li>• The appointee must be able to obtain and maintain a confidential security clearance. Failure to obtain or maintain the required level of security clearance for this role may result in the appointee not being able to take up this role or, if the appointee has already started working in the role, they may not be able to continue their employment in this role.</li></ul>