



Job description

Haere mai

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

Senior 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.

The Senior AML Regulator supports our role as a supervisor of certain financial businesses. 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 Senior AML Regulator achieves this by supporting the delivery of robust, well-informed, and targeted, supervision, education, and compliance monitoring of our regulated sector.

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

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.

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>Leadership</p> <ul style="list-style-type: none"> • Assist Manager Operations to develop and manage the AML team’s work programme and projects focusing on key objectives and outcomes and making best use of available resources • Be a leading subject-matter and technical expert, apply high-level analytical and investigative skills and specialist expertise to support decision making • Provide coaching, direction, training and mentoring of other staff, identify skill gaps and interventions to build the team’s capability • Provide robust advice and technical expertise to support effective strategic and business planning • Identify and actively manage business risks, reporting on risk and escalating to Manager Operations as required 	<ul style="list-style-type: none"> • Staff are supported to deliver on a work programme and projects that support the key objectives and outcomes of the team • Strategic and business planning is well informed by the team’s operational knowledge and experience • The Manager receives timely alerts to any real or potential business risk
<p>Relationship Management and Communications</p> <ul style="list-style-type: none"> • Build effective relationships and manage effective communications within the sector and with other stakeholders to learn about the sector and appropriately influence compliance, best practice, harm minimisation and the Department’s reputation as an effective regulator • Engage positively and build effective relationships with management and staff within the team, across the wider Regulatory Services Group, and with partner agencies, in order to share information and contribute to a coordinated and consistent approach to AML/CFT regulation. • Conduct stakeholder meetings, prepare and deliver presentations to stakeholder groups, and take opportunities for informal education of the sector, providing sound and lawful advice • Actively work to understand diverse business practices and cultures across a range of business sectors, demonstrate sensitivity where cultural differences or languages are present. 	<ul style="list-style-type: none"> • Sector stakeholders report that they are well-informed of, and well supported to comply with, their responsibilities under the AML/CFT Act • The team has built and utilised positive relationships internally and externally to achieve its outcomes. • The team is held in high regard within Regulatory Services, DIA and by partner agencies. • Knowledge of the sector is updated regularly and shared with the Regulatory Services Group

What you will do to contribute	As a result we will see
<p>Compliance Activities</p> <ul style="list-style-type: none"> Undertake reviews of reporting entities including analysing documentation, undertaking site visits, and producing reports to assess compliance with the AML/CFT Act in accordance with relevant procedures and performance indicators Make informed recommendations resulting in effective and proportionate interventions to address non-compliance, sanction actions are completed in accordance with relevant processes and performance indicators Contribute to the identification, collection, and sharing of information and intelligence and help ensure that staff actively collect, collate and disseminate as required Utilise intelligence and analysis capability within Regulatory Services Group to effectively target high risk non-compliance and to develop appropriate compliance interventions for specific regulatory issues 	<ul style="list-style-type: none"> A body of AML/CFT information and intelligence is available and utilised to inform the team's compliance activity towards the highest risk entities Compliance activity is targeted and effective, carried out to a high standard according to relevant procedures and performance indicators and is responsive to emerging risks
<p>Investigations</p> <ul style="list-style-type: none"> Assess complaints, intelligence and compliance monitoring information and make recommendations on whether investigations are required Carry out investigations or assist the Gambling Investigations Team, in accordance with relevant processes and performance indicators <p>Participate in and/or lead cross-agency and crossfunction investigations as required</p>	<ul style="list-style-type: none"> Decisions to conduct investigations are based on informed and robust recommendations. Investigations are conducted to a high standard according to relevant processes and performance indicators
<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 	<ul style="list-style-type: none"> A safe and healthy workplace for all people using our sites as a place of work. Health and safety guidelines are followed

Who you will work with to get the job done		Advise	Collaborate with	Influence	Inform	Manage/lead	Deliver to
Internal	Manager Operations	✓	✓	✓	✓		✓
	Staff of AML Directorate	✓	✓	✓	✓		
	Other Regulatory Services staff	✓	✓	✓	✓		
	Legal Services	✓	✓	✓	✓		
External	Minister of Internal Affairs	✓			✓		
	Other government departments and agencies	✓	✓	✓	✓		
	International regulatory/enforcement	✓	✓		✓		

Who you will work with to get the job done		Advise	Collaborate with	Influence	Inform	Manage/lead	Deliver to
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 Specialist.</p> <p>Keys to Success:</p> <ul style="list-style-type: none"> • Problem solving • Critical thinking • Interpersonal savvy • Navigating complexity • Communicating with influence • Technical and specialist learning 	<p>Experience:</p> <ul style="list-style-type: none"> • Experience/qualifications in one or more of the following: business compliance monitoring/audit/investigation; criminal/fraud investigation; forensic accounting; risk management; business analysis; law • Proven experience working in a risk-based regulatory and compliance function/role • Demonstrated competence in investigations and in preparation of evidential or factual accounts • Experience in providing training, coaching and mentoring to staff/colleagues <p>Knowledge:</p> <ul style="list-style-type: none"> • Sound understanding of regulatory and compliance functions and purpose <p>Skills:</p> <ul style="list-style-type: none"> • Ability to interpret legislation and other technical information and apply it in an operational context • Demonstrated ability to plan and organise work programmes or projects, and workloads effectively • Ability to engage and influence a diverse range of stakeholders • Good computer literacy skills • Sound oral and written communication skills <p>Other requirements:</p> <ul style="list-style-type: none"> • A relevant tertiary qualification is highly desirable

Your success profile for this role	What you will bring specifically
	<ul style="list-style-type: none">• 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.• A clean current driver licence is desirable• Willingness to undertake fieldwork and travel• 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