

# Role Description

## Compliance Investigations Officer



Department of  
Primary Industries

Cluster	Industry
Agency	Department of Primary Industries
Division/Branch/Unit	DPI / Biosecurity and Food Safety / Compliance
Location	Negotiable
Classification/Grade/Band	Food Safety Officer Grade 4
ANZSCO Code	132411
PCAT Code	1119192
Date of Approval	March 2018
Agency Website	<a href="http://www.dpi.nsw.gov.au">www.dpi.nsw.gov.au</a>

### Agency overview

The NSW Department of Industry leads the state government's contribution to making NSW a place where people want to live and work and businesses choose to invest and grow.

We support all areas of economic activity where NSW has competitive strengths. We also have responsibilities for:

- Skill formation and development to match industry demand
- Partnering with stakeholders in stewardship and sustainable use of the state's natural resources; and
- Supporting economic growth in the regions.

Our strategies are built on close relationships to understand industry's needs. We deliver a wide range of training and specialist services and we help to secure efficient and dependable government decision-making that contributes to business confidence. We measure our success by the:

- Growth in quantity of employment and the value of output; and the
- Competitiveness and sustainability of industries in NSW.

The NSW Department of Primary Industries (NSW DPI) supports the development of profitable primary industries that create a more prosperous NSW and contributes to a better environment through the sustainable use of natural resources.

Within NSW DPI, the Biosecurity & Food Safety Division is responsible for effective management and risk minimisation of biosecurity threats to NSW as well as the through-chain regulation of food safety. It delivers a risk based approach to policy and compliance, and provides regional engagement and coordination in response to emergency incidents and natural disasters impacting primary industries and the food sector.

## Primary purpose of the role

Responsible for the investigation and management of compliance across a variety of industry sectors by developing targeted compliance projects, and leading special investigations in response to serious, complex, or sensitive matters to contribute to the achievement of the agency objectives.

## Key accountabilities

- Perform a range of high level compliance and enforcement activities to ensure industry and community compliance with all facets of the relevant Acts, Regulations, standards and codes of practices in accordance with the objectives of the Department
- Lead and assist with special investigations into breaches of relevant legislation and exercise a high degree of judgment, applying an objective, evidence and risk-based approach to enable effective, timely and proportionate enforcement action that complies with departmental policies, procedures and protocols
- Provide clear, accurate, straightforward and timely information, advice, and assistance to businesses and engage with industry stakeholders to facilitate compliance
- Work in close collaboration with other compliance officers across operational units to ensure that regulatory services and compliance activities are undertaken in an effective, efficient and consistent manner, in accordance with to the Branch work program
- Lead and work as part of a team to research, develop and conduct, a range of compliance projects and programs that contribute to the implementation of Compliance Unit strategies and the achievement of departmental objectives through delivering high quality outcomes on time and within budget
- Provide high level, accurate, timely and appropriate information, technical advice, briefings, recommendations and reports to inform decision making by the Manager, Compliance Investigations, industry stakeholders and Executive management

## Key challenges

- Interpreting and managing conflicting interests of multiple stakeholders both internal and external, and applying a high degree of judgment when exercising statutory powers and taking enforcement action
- Responding promptly and effectively, often at short notice, to rapidly evolving issues and emerging noncompliance that can be highly emotive and eliciting unpredictable media attention using a high degree of judgment, conflict management, client engagement and communication skills to achieve a successful outcome
- Managing and prioritising workload to ensure delivery of quality outcomes and services within an environment where there are tight deadlines, competing demands for services and high volume

## Key relationships

Who	Why
<b>Internal</b>	
Manager, Compliance Investigations	<ul style="list-style-type: none"><li>• Receive guidance and direction on tasks including priorities</li><li>• Discuss work allocated, providing updates on key issues and progress. Escalate issues as appropriate.</li></ul>
Agency staff	<ul style="list-style-type: none"><li>• Support other officers in fulfilling departmental objectives in accordance with the Compliance Unit work plan</li><li>• Gather and disseminate operational information and data as required</li></ul>

Who	Why
	informing operational objectives
Director Biosecurity & Food Safety Compliance	<ul style="list-style-type: none"> <li>• Provision of quality technical information and advice on compliance issues</li> <li>• Work with senior management to fulfil strategic objectives by undertaking functions and activities in an effective and efficient manner in accordance with policies and procedures</li> </ul>
External	
Other NSW Government agencies	<ul style="list-style-type: none"> <li>• Represent the Compliance Unit in the business of government</li> </ul>
Industry and Community Stakeholders	<ul style="list-style-type: none"> <li>• Provide and obtain information to resolve compliance issues</li> <li>• Report on compliance projects and outcomes to Industry stakeholders</li> <li>• Negotiate required outcomes and timeframes, develop and maintain working relationships</li> </ul>

## Role dimensions

### Decision making

The role acts with considerable autonomy under the overall direction of the Manager and within the constraints of relevant strategies, policies, agency objectives, procedures and legislation. The role requires decisions to be made about compliance and enforcement options that are appropriate in the circumstances and are consistent with Departmental and NSW Government policy, and reflect a process of escalation that is proportionate to the risk.

### Reporting line

Manager, Compliance Investigations

### Direct reports

Nil

### Budget/Expenditure

Nil

### Essential requirements





- Experience in a regulatory environment and/or relevant tertiary qualifications
- Current Class C NSW Driver Licence
- Ability and willingness to travel throughout NSW and interstate as required; and work outside normal working hours to achieve outcomes at short notice to deal with a range of issues

### Capabilities for the role

The NSW Public Sector Capability Framework applies to all NSW public sector employees. The Capability Framework is available at [www.psc.nsw.gov.au/capabilityframework](http://www.psc.nsw.gov.au/capabilityframework)

## Capability summary

Below is the full list of capabilities and the level required for this role. The capabilities in bold are the focus capabilities for this role. Refer to the next section for further information about the focus capabilities.

NSW Public Sector Capability Framework		
Capability Group	Capability Name	Level
 Personal Attributes	Display Resilience and Courage	Adept
	<b>Act with Integrity</b>	<b>Adept</b>
	<b>Manage Self</b>	<b>Adept</b>
	Value Diversity	Intermediate
 Relationships	<b>Communicate Effectively</b>	<b>Intermediate</b>
	<b>Commit to Customer Service</b>	<b>Intermediate</b>
	Work Collaboratively	Intermediate
	<b>Influence and Negotiate</b>	<b>Adept</b>
 Results	Deliver Results	Intermediate
	Plan and Prioritise	Intermediate
	<b>Think and Solve Problems</b>	<b>Adept</b>
	<b>Demonstrate Accountability</b>	<b>Adept</b>
 Business Enablers	Finance	Intermediate
	<b>Technology</b>	<b>Intermediate</b>
	Procurement and Contract Management	Intermediate
	Project Management	Intermediate

## Focus capabilities

The focus capabilities for the role are the capabilities in which occupants must demonstrate immediate competence. The behavioural indicators provide examples of the types of behaviours that would be expected at that level and should be reviewed in conjunction with the role's key accountabilities.

NSW Public Sector Capability Framework		
Group and Capability	Level	Behavioural Indicators
<b>Personal Attributes</b> Act with Integrity	Adept	<ul style="list-style-type: none"> <li>• Represent the organisation in an honest, ethical and professional way and encourage others to do so</li> <li>• Demonstrate professionalism to support a culture of integrity within the team/unit</li> <li>• Set an example for others to follow and identify and explain ethical issues</li> <li>• Ensure that others understand the legislation and policy framework within which they operate</li> <li>• Act to prevent and report misconduct, illegal and inappropriate behaviour</li> </ul>

## NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
<b>Personal Attributes</b> Manage Self	Adept	<ul style="list-style-type: none"> <li>• Look for and take advantage of opportunities to learn new skills and develop strengths</li> <li>• Show commitment to achieving challenging goals</li> <li>• Examine and reflect on own performance</li> <li>• Seek and respond positively to constructive feedback and guidance</li> <li>• Demonstrate a high level of personal motivation</li> </ul>
<b>Relationships</b> Communicate Effectively	Intermediate	<ul style="list-style-type: none"> <li>• Focus on key points and speak in 'Plain English'</li> <li>• Clearly explain and present ideas and arguments</li> <li>• Listen to others when they are speaking and ask appropriate, respectful questions</li> <li>• Monitor own and others' non-verbal cues and adapt where necessary</li> <li>• Prepare written material that is well structured and easy to follow by the intended audience</li> <li>• Communicate routine technical information clearly</li> </ul>
<b>Relationships</b> Commit to Customer Service	Intermediate	<ul style="list-style-type: none"> <li>• Support a culture of quality customer service in the organisation</li> <li>• Demonstrate a thorough knowledge of the services provided and relay to customers</li> <li>• Identify and respond quickly to customer needs</li> <li>• Consider customer service requirements and develop solutions to meet needs</li> <li>• Resolve complex customer issues and needs</li> <li>• Co-operate across work areas to improve outcomes for customers</li> </ul>
<b>Relationships</b> Influence and Negotiate	Adept	<ul style="list-style-type: none"> <li>• Negotiate from an informed and credible position</li> <li>• Lead and facilitate productive discussions with staff and stakeholders</li> <li>• Encourage others to talk, share and debate ideas to achieve a consensus</li> <li>• Recognise and explain the need for compromise</li> <li>• Influence others with a fair and considered approach and sound arguments</li> <li>• Show sensitivity and understanding in resolving conflicts and differences</li> <li>• Manage challenging relations with internal and external stakeholders</li> <li>• Pre-empt and minimise conflict</li> </ul>
<b>Results</b> Think and Solve Problems	Adept	<ul style="list-style-type: none"> <li>• Research and analyse information, identify interrelationships and make recommendations based on relevant evidence</li> <li>• Anticipate, identify and address issues and potential problems and select the most effective solutions from a range of option</li> <li>• Participate in and contribute to team/unit initiatives to resolve common issues or barriers to effectiveness</li> <li>• Identify and share business process improvements to</li> </ul>

## NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
<b>Results</b> Demonstrate Accountability	Adept	<p>enhance effectiveness</p> <ul style="list-style-type: none"> <li>• Assess work outcomes and identify and share learnings to inform future actions</li> <li>• Ensure that actions of self and others are focused on achieving organisational outcomes</li> <li>• Exercise delegations responsibly</li> <li>• Understand and apply high standards of financial probity with public monies and other resources</li> <li>• Identify and implement safe work practices, taking a systematic risk management approach to ensure health and safety of self and others</li> <li>• Conduct and report on quality control audits</li> <li>• Identify risks to successful achievement of goals, and take appropriate steps to mitigate those risks</li> </ul>
<b>Business Enablers</b> Technology	Intermediate	<ul style="list-style-type: none"> <li>• Apply computer applications that enable performance of more complex tasks</li> <li>• Apply practical skills in the use of relevant technology</li> <li>• Make effective use of records, information and knowledge management functions and systems</li> <li>• Understand and comply with information and communications security and acceptable use policies</li> <li>• Support the implementation of systems improvement initiatives and the introduction and roll-out of new technologies</li> </ul>