

Role Description

Manager Compliance



Customer
Service

Cluster	Customer Service
Agency	Department of Customer Service
Division/Branch/Unit	Better Regulation Division/Liquor & Gaming NSW/Compliance
Classification/Grade/Band	Clerk Grade 11/12
ANZSCO Code	139999
PCAT Code	2121291
Date of Approval	October 2020

Primary purpose of the role

Lead and manage a team(s) of multi-disciplinary professionals to promote and ensure regulatory compliance in operations administered by the Department through a range of functions including audit, investigation and enforcement activities.

Key accountabilities

- Manage high profile and contentious audits, investigations, complaints, reviews and/or policy issues relevant to the business area and provide strategic advice/recommendations to senior officers to inform decision making
- Develop, refine and maintain a compliance-based risk assessment framework and undertake regular analysis of relevant datasets and other sector trends to minimise risk and maximise safety
- Make recommendations and/or directly take statutory or other actions under delegation to address issues of non-compliance or high risk within designated areas of responsibility, potentially including case management and taking or contributing to formal enforcement actions including prosecutions
- Determine team priorities and allocate resources to ensure that compliance activities are carried out in an efficient and timely manner in accordance with the requirements of the Department to support optimal service delivery
- Conduct and contribute to relevant applications and probity checks in accordance with legislation, policies and procedures to ensure regulatory compliance
- Communicate effectively and provide timely expert advice and support to key internal and external stakeholders to achieve improved industry outcomes
- Lead and drive team management, work planning, coaching and professional development activities to align resources to deliver priorities and a positive customer and employee experience
- Maintain awareness of relevant issues, obligations, insights, challenges, industry trends and practices and opportunities to identify, evaluate, recommend and deliver innovative solutions that optimise outcomes and contribute to a best practice function in line with organisational and government priorities

Key challenges

- Providing a transparent and robust compliance and enforcement framework that meets community expectations, promotes compliance, deters non-compliance and adds to the public value of a modern, responsive risk-based regulator given potentially competing priorities
- Developing and maintaining effective compliance and audit tools, processes and procedures to support the Department's regulatory role while maintaining customer service outcomes
- Ensuring staff have the necessary specialist skillset to be able to effectively undertake compliance activities in the context of a rapidly changing, customer focused, regulatory environment

Key relationships

Who	Why
Internal	
Manager (Director)	<ul style="list-style-type: none">• Escalate issues, keep informed, advise, receive guidance and instructions• Participate in meetings and discussions to share information and provide input and feedback• Identify emerging issues, risks and opportunities to facilitate informed decision making
Management Team	<ul style="list-style-type: none">• Work closely with to deliver key services and achieve business objectives
Direct Reports	<ul style="list-style-type: none">• Guide, support, coach, mentor, review work and manage performance• Provide own perspective and share information• Work collaboratively with, inspire and motivate• Drive the implementation of a customer centric service model into business unit operations to ensure a continuous improvement approach
Customer/ Client	<ul style="list-style-type: none">• Provide customer focused information, advice and services• Manage expectations and resolve issues• Build and maintain positive and trusted relationships
External	
Customers/ Stakeholders/ Industry	<ul style="list-style-type: none">• Provide customer focused information, advice and services• Manage expectations and resolve issues• Exchange information, provide support and education, negotiate, take compliance and enforcement action
Other Government Agencies	<ul style="list-style-type: none">• Participate in meetings and represent the Organisation's perspective• Provide and share information, discuss and seek input on matters or issues

Role dimensions

Decision making

This role has autonomy and makes decisions that are under their direct control as directed by their Executive. It refers to the Executive decisions that require significant change to program outcomes or timeframes or are likely to escalate. This role is fully accountable for the delivery of work assignments on time and to

expectations in terms of quality, deliverables and outcomes. This role submits reports, business cases and other forms of written advice with minimal input from the Director.

Reporting line

Director

Direct reports

This role has various direct reports

Budget/Expenditure

As per the Customer Service Delegations

Key knowledge and experience

- Considerable experience managing regulatory compliance activities, initiatives and programs

Essential requirements

- Appointment and ongoing assignment may be subject to restrictions and the satisfactory participation in mandatory pre-employment and ongoing probity screening, in accordance with relevant Legislation and/or related policies
- Incumbents will need to meet requirements to be appointed as an Inspector under relevant legislation
- Willingness and availability to meet the shift-work requirements of the role

Capabilities for the role

The [NSW public sector capability framework](#) describes the capabilities (knowledge, skills and abilities) needed to perform a role. There are four main groups of capabilities: personal attributes, relationships, results and business enablers, with a fifth people management group of capabilities for roles with managerial responsibilities. These groups, combined with capabilities drawn from occupation-specific capability sets where relevant, work together to provide an understanding of the capabilities needed for the role.


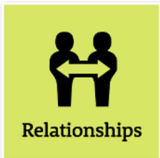
The capabilities are separated into **focus capabilities** and **complementary capabilities**.

Focus capabilities


Focus capabilities are the capabilities considered the most important for effective performance of the role. These capabilities will be assessed at recruitment.

The focus capabilities for this role are shown below with a brief explanation of what each capability covers and the indicators describing the types of behaviours expected at each level.



FOCUS CAPABILITIES

Capability group/sets	Capability name	Behavioural indicators	Level
 Personal Attributes	Act with Integrity Be ethical and professional, and uphold and promote the public sector values	<ul style="list-style-type: none"> • Model the highest standards of ethical and professional behaviour and reinforce their use • Represent the organisation in an honest, ethical and professional way and set an example for others to follow • Promote a culture of integrity and professionalism within the organisation and in dealings external to government • Monitor ethical practices, standards and systems and reinforce their use • Act promptly on reported breaches of legislation, policies and guidelines 	Advanced
	 Relationships	Communicate Effectively Communicate clearly, actively listen to others, and respond with understanding and respect	Advanced
	Commit to Customer Service Provide customer-focused services in line with public sector and organisational objectives	<ul style="list-style-type: none"> • Take responsibility for delivering high-quality customer-focused services • Design processes and policies based on the customer's point of view and needs • Understand and measure what is important to customers • Use data and information to monitor and improve customer service delivery • Find opportunities to cooperate with internal and external stakeholders to improve outcomes for customers • Maintain relationships with key customers in area of expertise • Connect and collaborate with relevant customers within the community 	Adept

FOCUS CAPABILITIES

Capability group/sets	Capability name	Behavioural indicators	Level
	Deliver Results Achieve results through the efficient use of resources and a commitment to quality outcomes	<ul style="list-style-type: none"> • Seek and apply the expertise of key individuals to achieve organisational outcomes • Drive a culture of achievement and acknowledge input from others • Determine how outcomes will be measured and guide others on evaluation methods • Investigate and create opportunities to enhance the achievement of organisational objectives • Make sure others understand that on-time and on-budget results are required and how overall success is defined • Control business unit output to ensure government outcomes are achieved within budgets • Progress organisational priorities and ensure that resources are acquired and used effectively 	Advanced
	Think and Solve Problems Think, analyse and consider the broader context to develop practical solutions	<ul style="list-style-type: none"> • Undertake objective, critical analysis to draw accurate conclusions that recognise and manage contextual issues • Work through issues, weigh up alternatives and identify the most effective solutions in collaboration with others • Take account of the wider business context when considering options to resolve issues • Explore a range of possibilities and creative alternatives to contribute to system, process and business improvements • Implement systems and processes that are underpinned by high-quality research and analysis • Look for opportunities to design innovative solutions to meet user needs and service demands • Evaluate the performance and effectiveness of services, policies and programs against clear criteria 	Advanced
	Demonstrate Accountability Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	<ul style="list-style-type: none"> • Design and develop systems to establish and measure accountabilities • Ensure accountabilities are exercised in line with government and business goals • Exercise due diligence to ensure work health and safety risks are addressed • Oversee quality assurance practices 	Advanced

FOCUS CAPABILITIES






Capability group/sets	Capability name	Behavioural indicators	Level
		<ul style="list-style-type: none"> Model the highest standards of financial probity, demonstrating respect for public monies and other resources Monitor and maintain business-unit knowledge of and compliance with legislative and regulatory frameworks Incorporate sound risk management principles and strategies into business planning 	
 Business Enablers	Technology Understand and use available technologies to maximise efficiencies and effectiveness	<ul style="list-style-type: none"> Identify opportunities to use a broad range of technologies to collaborate Monitor compliance with cyber security and the use of technology policies Identify ways to maximise the value of available technology to achieve business strategies and outcomes Monitor compliance with the organisation's records, information and knowledge management requirements 	Adept
 People Management	Manage and Develop People Engage and motivate staff, and develop capability and potential in others	<ul style="list-style-type: none"> Define and clearly communicate roles, responsibilities and performance standards to achieve team outcomes Adjust performance development processes to meet the diverse abilities and needs of individuals and teams Develop work plans that consider capability, strengths and opportunities for development Be aware of the influences of bias when managing team members Seek feedback on own management capabilities and develop strategies to address any gaps Address and resolve team and individual performance issues, including unsatisfactory performance, in a timely and effective way Monitor and report on team performance in line with established performance development frameworks 	Adept

Complementary capabilities

Complementary capabilities are also identified from the Capability Framework and relevant occupation-specific capability sets. They are important to identifying performance required for the role and development opportunities.

Note: capabilities listed as 'not essential' for this role are not relevant for recruitment purposes however may be relevant for future career development.

COMPLEMENTARY CAPABILITIES

Capability group/sets	Capability name	Description	Level
 Personal Attributes	Display Resilience and Courage	Be open and honest, prepared to express your views, and willing to accept and commit to change	Adept
	Manage Self	Show drive and motivation, an ability to self-reflect and a commitment to learning	Adept
	Value Diversity and Inclusion	Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives	Adept
 Relationships	Work Collaboratively	Collaborate with others and value their contribution	Adept
	Influence and Negotiate	Gain consensus and commitment from others, and resolve issues and conflicts	Adept
 Results	Plan and Prioritise	Plan to achieve priority outcomes and respond flexibly to changing circumstances	Adept
 Business Enablers	Finance	Understand and apply financial processes to achieve value for money and minimise financial risk	Adept
	Procurement and Contract Management	Understand and apply procurement processes to ensure effective purchasing and contract performance	Intermediate
	Project Management	Understand and apply effective planning, coordination and control methods	Intermediate
 People Management	Inspire Direction and Purpose	Communicate goals, priorities and vision, and recognise achievements	Adept
	Optimise Business Outcomes	Manage people and resources effectively to achieve public value	Adept
	Manage Reform and Change	Support, promote and champion change, and assist others to engage with change	Adept