Role Description

Senior Compliance Officer

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| **Cluster** | Regional NSW |
| **Agency** | Department of Regional NSW |
| **Division/Branch/Unit** | Resources Regulator |
| **Location** | Maitland |
| **Role number** | Generic |
| **Classification/Grade/Band** | Clerk Grade 7/8 |
| **ANZSCO Code** | 224412 |
| **PCAT Code** | 1119192 |
| **Date of Approval** | 29 April 2020 |
| **Agency Website** | [www.resourcesregulator.nsw.gov.au](http://www.resourcesregulator.nsw.gov.au/) |

# Agency overview

The Department of Regional NSW (DRNSW) was formed in 2020 as a central agency for regional issues. The Department is responsible for building resilient regional economies and communities, strengthening primary industries, managing the use of regional land, overseeing the state’s mineral and mining resources and ensuring that government investment into regional NSW is fair and delivers positive outcomes for local communities and businesses.

Resource management is a key issue for regional communities which is why the NSW Resources Regulator is part of DRNSW. The Regulator is the State’s work health and safety regulator for mines and petroleum sites and undertakes compliance and enforcement activities in relation to the *Mining Act 1992*, with a key focus on mine rehabilitation activities.

The Regulator was established on 1 July 2016 as a standalone regulator with the purpose of increasing industry and community confidence in the regulation of the mining industry through a consistent, transparent and responsive regulatory approach. Our vision is a safe and responsible mining, extractive and petroleum industry. Our mission is to enable and support industry to understand and fulfil its obligations.

# Primary purpose of the role

The Senior Compliance Officer undertakes a wide range of compliance-related activities including assessing applications for authorisations and undertaking inspections, audits and investigations to support the achievement of regulatory objectives.

# Key accountabilities

* Undertake a range of compliance-related activities that include: undertaking and reporting on investigations, inspections, reviews and audits; gathering, analysing and reporting intelligence data; assessing applications/probity checks; undertaking case management; and providing documents and recommendations to support enforcement actions.

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* Mentor other compliance staff and shares lessons learnt to support operational effectiveness and optimise regulatory outcomes.
* Provide timely, accurate information and guidance to authorisation holders and other key stakeholders in relation to compliance and associated matters.
* Escalate and contribute to addressing more complex/contentious enquiries and compliance-related matters.
* Prepare and/or contribute to the preparation of timely and accurate reports, correspondence, briefings and submissions relevant to compliance activities.
* Undertake records management activities to ensure accurate and timely records and systems are maintained to support the operations of the unit.
* Contribute to research, projects and initiatives associated with the development, implementation and continual improvement of a strategic, risk-based approach to compliance programs.
* Maintain constructive relationships with key stakeholders, including co-regulators and industry stakeholders to share insights and inform outcomes.

# Key challenges

* Undertaking compliance activities in an effective, efficient and impartial manner, given the high volume, sensitive and regulatory nature of the work.
* Maintaining the Department’s credibility as an impartial regulator by interpreting and providing advice with regard to the correct application of legislation, policy and procedure; while also promoting exploration and mining industries and participants.

# Key relationships

|  |
| --- |
| **Who Why** |
| **Internal** |

Manager  Consult, support, receive direction, provide updates and advice

* + Escalate and assist to resolve difficult or complex issues

Other team members  Provide direction, inform, consult, and develop capability

Stakeholders  Develop and maintain effective relationships and open channels of communication

* + Exchange information and respond to enquiries

**External**

Other Government Departments  Share information and coordinate activities

Stakeholder Groups  Exchange information, provide support and information, negotiate, take compliance and enforcement action under delegation

# Role dimensions

## Decision making

Makes day to day decisions on own work and on projects and negotiates deadlines for changing priorities. Exercise the statutory functions and powers of the *Mining Act 1992*, the *Petroleum (Onshore) Act 1991*, and Work Health Safety legislation as delegated. Be guided in decision making by legislation, Australian and International Standards and Government and Departmental guidelines. Where issues are complex and/or may have sensitive or other organisation wide implications, the Manager is consulted

## Reporting line

This role reports to the Manager.

## Direct reports

Nil

## Budget/Expenditure

Nil

# Key knowledge and experience

* Demonstrated experience undertaking a range of compliance related activities in a sensitive and complex environment.

# Essential requirements

* Hold and maintain a current Class C driver licence.
* Compliance with the Resources Regulator Integrity Clearance policy is **mandatory**, and a **condition of engagement** for staff engaged after 3 December 2019.
* Compliance with the Resources Regulator Pecuniary Interests in the Regulated Sector policy is

**mandatory**.

* Appointment and ongoing assignment is subject to the satisfactory participation in ongoing health screening.

# 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**

**Level**

**Behavioural indicators**

**Capability name**

**Capability**

**group/sets**

**Display Resilience and Courage**

Be open and honest, prepared to express your views, and willing to accept and commit to change

* Be flexible, show initiative and respond quickly when situations change
* Give frank and honest feedback and advice
* Listen when ideas are challenged, seek to understand the nature of the comment and respond appropriately
* Raise and work through challenging issues and

seek alternatives

* Remain composed and calm under pressure and

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in challenging situations

**Act with Integrity**

Be ethical and professional, and uphold and promote the public sector values

* Represent the organisation in an honest, ethical and professional way and encourage others to do so
* Act professionally and support a culture of

integrity

* Identify and explain ethical issues and set an example for others to follow
* Ensure that others are aware of and understand the legislation and policy framework within which they operate
* Act to prevent and report misconduct and illegal

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and inappropriate behaviour

**Communicate Effectively** Communicate clearly, actively listen to others, and respond

with understanding and respect

**Work Collaboratively** Collaborate with others and value their contribution

* Tailor communication to diverse audiences
* Clearly explain complex concepts and arguments to individuals and groups
* Create opportunities for others to be heard, listen attentively and encourage them to express their views
* Share information across teams and units to

enable informed decision making

* Write fluently in plain English and in a range of styles and formats
* Use contemporary communication channels to share information, engage and interact with diverse audiences
* Encourage a culture that recognises the value of collaboration
* Build cooperation and overcome barriers to information sharing and communication across teams and units
* Share lessons learned across teams and units
* Identify opportunities to leverage the strengths of others to solve issues and develop better processes and approaches to work
* Actively use collaboration tools, including digital

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technologies, to engage diverse audiences in

**Deliver Results**

Achieve results through the efficient use of resources and a commitment to quality outcomes

solving problems and improving services

* Use own and others’ expertise to achieve outcomes, and take responsibility for delivering intended outcomes
* Make sure staff understand expected goals and

acknowledge staff success in achieving these

* Identify resource needs and ensure goals are achieved within set budgets and deadlines
* Use business data to evaluate outcomes and inform continuous improvement
* Identify priorities that need to change and ensure the allocation of resources meets new business needs
* Ensure that the financial implications of changed

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priorities are explicit and budgeted for

**Think and Solve Problems** Think, analyse and consider the broader context to develop

practical solutions

* Research and apply critical-thinking techniques in analysing information, identify interrelationships and make recommendations based on relevant evidence
* Anticipate, identify and address issues and

potential problems that may have an impact on organisational objectives and the user experience

* Apply creative-thinking techniques to generate

new ideas and options to address issues and improve the user experience

* Seek contributions and ideas from people with diverse backgrounds and experience
* Participate in and contribute to team or unit initiatives to resolve common issues or barriers to effectiveness
* Identify and share business process

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improvements to enhance effectiveness

**Demonstrate Accountability** Be proactive and responsible for own actions, and adhere to

legislation, policy and guidelines

**Project Management** Understand and apply effective planning, coordination and

control methods

* Be proactive in taking responsibility and being accountable for own actions
* Understand delegations and act within authority levels
* Identify and follow safe work practices, and be vigilant about own and others’ application of these practices
* Be aware of risks and act on or escalate risks, as

appropriate

* Use financial and other resources responsibly
* Perform basic research and analysis to inform and support the achievement of project deliverables
* Contribute to developing project documentation

and resource estimates

* Contribute to reviews of progress, outcomes and future improvements

Intermediate

Intermediate

* + Identify and escalate possible variances from project plans

# 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**

**Level**

**Description**

**Capability name**

**Capability**

**group/sets**



Manage Self

Show drive and motivation, an ability to self-reflect and a commitment to learning

Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives

Intermediate

Value Diversity and Inclusion

Foundational



Commit to Customer Service

Provide customer-focused services in line with public Intermediate sector and organisational objectives

Influence and Negotiate

Gain consensus and commitment from others, and resolve issues and conflicts

Intermediate



Plan and Prioritise

Plan to achieve priority outcomes and respond flexibly to changing circumstances

Intermediate



Finance

Understand and apply financial processes to achieve Intermediate value for money and minimise financial risk

Technology

Procurement and Contract Management

Understand and use available technologies to maximise efficiencies and effectiveness Understand and apply procurement processes to ensure effective purchasing and contract performance

Intermediate

Foundational