

Role Description

Senior Compliance Officer



Customer
Service

Cluster	Customer Service
Agency	Department of Customer Service
Division/Branch/Unit	Better Regulation/Liquor & Gaming NSW / Regulatory Operations Branch
Classification/Grade/Band	Clerk Grade 5/6
ANZSCO Code	511112
PCAT Code	1119192
Date of Approval	January 2016

Primary purpose of the role

The Senior Compliance Officer is responsible for undertaking a range of compliance-related activities, including inspections and investigations, across assigned areas of responsibility in order to support the achievement of regulatory objectives.

Key accountabilities

- Undertake a range of compliance-related activities including; conducting and recording/reporting the results of covert and overt inspections, complaints investigations, reviews and audits; case management; gathering, analysing and reporting intelligence data; contributing to the administration of disciplinary schemes; contributing to the consideration of relevant applications/probity checks, and; taking, preparing documentation/ recommendations and supporting enforcement action including prosecutions
- Provide timely, accurate information and guidance to customers and other key stakeholders, in relation to compliance and associated matters
- Prepare and/or contribute to the preparation of timely and accurate reports, correspondence, briefings and submissions relevant to compliance activities
- Maintain accurate and timely records and systems necessary to support the effective operation and reporting of relevant activities
- 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, in order to optimise outcomes

Key challenges

- Undertaking compliance activities in an effective, efficient and impartial manner, given the high volume, sensitive and regulatory nature of the work
- Managing multiple and diverse stakeholders with potentially competing priorities
- Interpreting and ensuring the correct application of legislation, policies and procedures

Key relationships

Who	Why
Internal	
Compliance Program Coordinator OR Senior Intelligence Officer OR Team Leader	<ul style="list-style-type: none">• Escalate and assist to resolve difficult or complex issues as required• Consult, support, receive direction, provide updates/information
Other L&GNSW staff	<ul style="list-style-type: none">• Collaborate in relation to shared activities, support and inform
External	
Legal service providers	<ul style="list-style-type: none">• Exchange information, collaborate, give and receive support
Industry stakeholders	<ul style="list-style-type: none">• Exchange information, provide support and information, negotiate, take compliance and enforcement action under delegation
Other regulators and government agencies	<ul style="list-style-type: none">• Share information and work collaboratively to optimise outcomes

Role dimensions

Decision making

This role has autonomy and makes decisions under their direct control as directed by their Team Leader/Coordinator and refers to the Team Leader/Coordinator decisions that require significant change to outcomes or timeframes; are likely to escalate or require submission to a higher level of management. This role is accountable for the delivery of work assignments on time and to expectations in terms of quality, deliverables and outcomes.

Reporting line

Compliance Program Coordinator OR Senior Intelligence Officer OR Team Leader

Direct reports

Nil

Budget/Expenditure

As per the Customer Service Delegations

Essential requirements





- Demonstrated experience undertaking a range of compliance related activities in a sensitive and complex environment
- Appointment and ongoing assignment is subject to the satisfactory participation in mandatory pre-employment and ongoing probity screening, in accordance with the L&GNSW Probity Framework. Incumbents will also 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 applies to all NSW public sector employees. The Capability Framework is available at 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	Intermediate
	Act with Integrity	Intermediate
	Manage Self	Intermediate
	Value Diversity	Foundational
 Relationships	Communicate Effectively	Intermediate
	Commit to Customer Service	Intermediate
	Work Collaboratively	Intermediate
	Influence and Negotiate	Intermediate
 Results	Deliver Results	Intermediate
	Plan and Prioritise	Foundational
	Think and Solve Problems	Intermediate
	Demonstrate Accountability	Intermediate
 Business Enablers	Finance	Intermediate
	Technology	Foundational
	Procurement and Contract Management	Foundational
	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
Personal Attributes Display Resilience and Courage	Intermediate	<ul style="list-style-type: none"> Be flexible and adaptable and respond quickly when situations change Offer own opinion and raise challenging issues Listen when ideas are challenged and respond in a reasonable way Work through challenges Stay calm and focused in the face of challenging situations
Personal Attributes Act with Integrity	Intermediate	<ul style="list-style-type: none"> Represent the organisation in an honest, ethical and professional way Support a culture of integrity and professionalism Understand and follow legislation, rules, policies, guidelines

NSW Public Sector Capability Framework

Group and Capability	Level	Behavioural Indicators
		<ul style="list-style-type: none"> and codes of conduct • Help others to understand their obligations to comply with legislation, rules, policies, guidelines and codes of conduct • Recognise and report misconduct, illegal or inappropriate behaviour • Report and manage apparent conflicts of interest
Relationships Communicate Effectively	Intermediate	<ul style="list-style-type: none"> • Focus on key points and speak in 'Plain English' • Clearly explain and present ideas and arguments • Listen to others when they are speaking and ask appropriate, respectful questions • Monitor own and others' non-verbal cues and adapt where necessary • Prepare written material that is well structured and easy to follow by the intended audience • Communicate routine technical information clearly
Relationships Commit to Customer Service	Intermediate	<ul style="list-style-type: none"> • Support a culture of quality customer service in the organisation • Demonstrate a thorough knowledge of the services provided and relay to customers • Identify and respond quickly to customer needs • Consider customer service requirements and develop solutions to meet needs • Resolve complex customer issues and needs • Co-operate across work areas to improve outcomes for customers
Results Demonstrate Accountability	Intermediate	<ul style="list-style-type: none"> • Take responsibility and be accountable for own actions • Understand delegations and act within authority levels • Identify and follow safe work practices, and be vigilant about their application by self and others • Be alert to risks that might impact the completion of an activity and escalate these when identified • Use financial and other resources responsibly
Business Enablers Project Management	Intermediate	<ul style="list-style-type: none"> • Perform basic research and analysis which others will use to inform project directions • Understand project goals, steps to be undertaken and expected outcomes • Prepare accurate documentation to support cost or resource estimates • Participate and contribute to reviews of progress, outcomes and future improvements • Identify and escalate any possible variance from project plans