

Role Description

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 3/4 |
| ANZSCO Code | 511112 |
| PCAT Code | 1119192 |
| Date of Approval | January 2016 |

Primary purpose of the role

The Compliance Officer supports, contributes to and directly undertakes 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 inspections, complaints investigations, reviews and audits, and take or recommend actions to address instances of apparent non-compliance.
- Provide timely, accurate information and general 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 and support 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
- Supporting multiple 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 Team Leader | <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 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 |
| Senior Compliance Officer & other L&GNSW staff | <ul style="list-style-type: none"> • Collaborate in relation to shared activities, provide support and information • Escalate/refer difficult or complex issues as required |
| 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, take compliance and enforcement action under delegation |
| Other regulators and government | <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 Team Leader

Direct reports

Nil

Budget/Expenditure

As per Customer Service Delegations

Essential requirements





- Appointment and ongoing assignment are 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 | Foundational |
|  Results | Deliver Results | Foundational |
| | Plan and Prioritise | Foundational |
| | Think and Solve Problems | Foundational |
| | Demonstrate Accountability | Intermediate |
|  Business Enablers | Finance | Foundational |
| | Technology | Foundational |
| | Procurement and Contract Management | Foundational |
| | Project Management | Foundational |

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 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 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 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 |
| Relationships Work Collaboratively | Intermediate | <ul style="list-style-type: none"> • Build a supportive and co-operative team environment • Share information and learning across teams • Acknowledge outcomes which were achieved by effective collaboration • Engage other teams/units to share information and solve issues and problems jointly • Support others in challenging situations |
| 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 | Foundational | <ul style="list-style-type: none"> • Plan and deliver tasks in line with agreed schedules • Check progress against schedules, and seek help to overcome barriers |

NSW Public Sector Capability Framework

Group and Capability

Level

Behavioural Indicators

- Participate in planning and provide feedback about improvements to schedules