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| **Senior Executive Work Level Standards** | Work Contribution Stream: Regulatory/Compliance |
| **Classification/Grade/Band** | Band 3 |
| **Date of Approval** | 01 July 2020 |

Primary purpose of the role

The Deputy Secretary, Regulatory/Compliance works closely with the Secretary to provide executive leadership and governance across the Agency and assumes specific responsibility for setting the strategic direction for, and leading a significant portfolio of regulatory, compliance and enforcement functions, with a particular focus on strategic planning, governance frameworks, program integration, and evaluation of program outcomes, to ensure the integrity, alignment and effectiveness of the regulatory regime.

Key accountabilities

* Direct the development, implementation and ongoing evaluation and review of regulatory, compliance and/or enforcement programs ensuring alignment with Agency objectives and strategic direction
* Collaborate to deliver effective governance within the Agency and more broadly across the Cluster as a key participant in critical planning and decision-making processes which underpin strategic goals and outcomes
* Respond effectively to highly sensitive and contentious regulatory or enforcement issues to ensure that financial, reputational, and business risks are minimised. Direct the overall performance of regulatory programs and enforcement functions by setting expectations, performance goals and standards and performance measures at a whole of program level to form the basis for their evaluation of effectiveness
* Drive effective budgeting, corporate and business planning, and program evaluation frameworks to optimise the return on government's financial, human, intellectual and physical investments in regulatory compliance and enforcement activity
* Provision of timely, strategic, expert and authoritative advice to the Minister and Secretary to enable fully informed evidence-based strategic policy recommendations and decisions
* Represent the Agency, Cluster and State, nationally and/or internationally, in inter-government and key external stakeholder consultations and negotiations to optimise outcomes for the Agency and the NSW Government

Key challenges

* Ensuring that there is effective end-to-end integration of policy development and review and operational delivery of regulatory enforcement, to deliver strong levels of operational excellence for the Agency
* Delivering continuous improvements and efficiencies through identifying opportunities for tactical integration of regulatory and enforcement programs and activities, or achievement of economies of scale

Key relationships

| Who |  Why |
| --- | --- |
| **Ministerial** |  |
| Minister/Office of Minister | * Consult directly with the relevant Minister, providing accurate advice and information regarding the impacts of the regulatory program and enforcement activities, and detailing responses to sensitive or contentious industry/community issues
* Collaborate and maintain open relationships to expedite responses and information transfer
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| **Internal** |  |
| Secretary | * Negotiate budgets and resources consistent with strategic plans and goals
* Achieve endorsement of strategic and corporate plans and goals including planned reviews of the regulatory framework
* Alert to regulatory, compliance and/or enforcement issues which may escalate, or which may have State-wide impact
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| Executive | * Provide strategic advice and influence decision making processes
* Implementation of governance frameworks
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| Direct Reports | * Inspire and motivate, provide leadership and support
* Set overall performance expectations and oversight the implementation of effective performance management frameworks and processes
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| **External** |  |
| Other Deputy Secretaries Regulatory/Compliance | * Establish effective high-level networks to enable performance benchmarking, monitor industry trends, maintain currency, and collaborate on common responses to emerging and future issues
 |
| Other NSW Government Agencies | * Establish collaborative relationships and partnerships
 |
| Broader government stakeholders | * Maintain effective relationships with key stakeholders to exchange market intelligence, performance benchmarking information, innovations, and other matters of mutual interest to enhance the effectiveness and quality of programs and functions
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| Key Stakeholders | * Manage relationships to ensure that programs and functions are strategic and effective and targeted to meet evolving needs
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# Role dimensions

## Decision making

NA

## Reporting line

NA

## Direct reports

NA

## Budget/Expenditure

NA

# Capabilities for the role

The [NSW public sector capability framework](https://www.psc.nsw.gov.au/workforce-management/capability-framework/the-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 |
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| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level**  |
| Act with Integrity | **Act with Integrity**Be ethical and professional, and uphold and promote the public sector values | Champion and model the highest standards of ethical and professional behaviourDrive a culture of integrity and professionalism within the organisation, and in dealings across government and with other jurisdictions and external organisationsSet, communicate and evaluate ethical practices, standards and systems and reinforce their useCreate and promote a culture in which staff feel able to report apparent breaches of legislation, policies and guidelines and act promptly and visibly in response to such reportsAct promptly and visibly to prevent and respond to unethical behaviour | Highly Advanced |

| FOCUS CAPABILITIES |
| --- |
| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level**  |
| Communicate Effectively | **Communicate Effectively**Communicate clearly, actively listen to others, and respond with understanding and respect | Articulate complex concepts and put forward compelling arguments and rationales to all levels and types of audiencesSpeak in a highly articulate and influential mannerState the facts and explain their implications for the organisation and key stakeholdersPromote the organisation’s position with authority and credibility across government, other jurisdictions and external organisationsAnticipate and address key areas of interest for the audience and adapt style under pressure | Highly Advanced |
| **Influence and Negotiate**Gain consensus and commitment from others, and resolve issues and conflicts | Engage in a range of approaches to generate solutions, seeking expert inputs and advice to inform negotiating strategyUse sound arguments, strong evidence and expert opinion to influence outcomesDetermine and communicate the organisation’s position and bargaining strategyRepresent the organisation in critical and challenging negotiations, including those that are cross-jurisdictionalAchieve effective solutions when dealing with ambiguous or conflicting positionsAnticipate and avoid conflict across organisations and with senior internal and external stakeholdersIdentify contentious issues, direct discussion and debate, and steer parties towards an effective resolution | Highly Advanced |
| Deliver Results | **Deliver Results**Achieve results through the efficient use of resources and a commitment to quality outcomes | Use own professional knowledge and the expertise of others to drive forward organisational and government objectivesCreate a culture of achievement, fostering on-time and on-budget quality outcomes in the organisationIdentify, recognise and celebrate successEstablish systems to ensure all staff are able to identify direct connections between their efforts and organisational outcomesIdentify and remove potential barriers or hurdles to achieving outcomesInitiate and communicate high-level priorities for the organisation to achieve government outcomes | Highly Advanced |

| FOCUS CAPABILITIES |
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| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level**  |
|  | **Plan and Prioritise**Plan to achieve priority outcomes and respond flexibly to changing circumstances | Understand the links between the business unit, organisation and the whole-of-government agendaEnsure business plan goals are clear and appropriate and include contingency provisionsMonitor the progress of initiatives and make necessary adjustmentsAnticipate and assess the impact of changes, including government policy and economic conditions, on business plans and initiatives and respond appropriatelyConsider the implications of a wide range of complex issues and shift business priorities when necessaryUndertake planning to help the organisation transition through change initiatives, and evaluate progress and outcomes to inform future planning | Advanced |
| **Demonstrate Accountability**Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | Direct the development of effective systems for establishing and measuring accountabilities and evaluate ongoing effectivenessPromote a culture of accountability with clear links to government goalsSet standards and exercise due diligence to ensure work health and safety risks are addressedInspire a culture that respects the obligation to manage public monies and other resources responsibly and with the highest standards of probityEnsure that legislative and regulatory frameworks are applied consistently and effectively across the organisationDirect the development of short- and long-term risk management frameworks to ensure government aims and objectives are achieved | Highly Advanced |
| Business Enablers | **Finance**Understand and apply financial processes to achieve value for money and minimise financial risk | Apply a thorough understanding of recurrent and capital financial terminology, policies and processes to planning, forecasting and budget preparation and managementIdentify and analyse trends, review data and evaluate business options to ensure business cases are financially soundAssess relative cost benefits of various purchasing optionsPromote the role of sound financial management and its impact on organisational effectivenessObtain specialist financial advice when reviewing and evaluating finance systems and processesRespond to financial and risk management audit outcomes, addressing areas of non-compliance in a timely manner | Advanced |
| People Management | **Inspire Direction and Purpose**Communicate goals, priorities and vision, and recognise achievements | Promote a sense of purpose and enable others to understand the links between government policy, organisational goals and public valueBuild a shared sense of direction, clarify priorities and goals, and inspire others to achieve theseWork with others to translate strategic direction into operational goals and build a shared understanding of the link between these and core business outcomesCreate opportunities for recognising and celebrating high performance at the individual and team levelInstil confidence, and cultivate an attitude of openness and curiosity in tackling future challenges | Advanced |
| **Optimise Business Outcomes**Manage people and resources effectively to achieve public value | Ensure that organisational architecture is aligned to the organisation’s goals and responds to changes over timeEngage in strategic workforce planning and strategic resource utilisation to ensure that the organisation’s aims and goals and the government’s objectives can be achievedAlign workforce resources and talent with organisational prioritiesSet clear boundaries and freedoms for the organisation in risk takingHold self and others accountable for implementing and maintaining inclusive workforce management practices | Highly Advanced |

| FOCUS CAPABILITIES |
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| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level**  |
|  | **Manage Reform and Change**Support, promote and champion change, and assist others to engage with change | Clarify the purpose and benefits of continuous improvement for staff and provide coaching and leadership in times of uncertaintyAssist others to address emerging challenges and risks and generate support for change initiativesTranslate change initiatives into practical strategies and explain these to staff, and their role in implementing themImplement structured change management processes to identify and develop responses to cultural barriers | Advanced |

# 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 |
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| **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 | Highly Advanced |
| Manage Self | Show drive and motivation, an ability to self-reflect and a commitment to learning | Highly Advanced |
| Value Diversity and Inclusion | Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives | Advanced |
| Relationships | Commit to Customer Service | Provide customer-focused services in line with public sector and organisational objectives | Advanced |
| Work Collaboratively | Collaborate with others and value their contribution | Advanced |
| Results | Think and Solve Problems | Think, analyse and consider the broader context to develop practical solutions | Advanced |

| COMPLEMENTARY CAPABILITIES |
| --- |
| **Capability group/sets** | **Capability name** |  | **Description** | **Level**  |
| Business Enablers | Technology | Understand and use available technologies to maximise efficiencies and effectiveness | Advanced |
| Procurement and Contract Management | Understand and apply procurement processes to ensure effective purchasing and contract performance | Adept |
| Project Management | Understand and apply effective planning, coordination and control methods | Advanced |
| People Management | Manage and Develop People | Engage and motivate staff, and develop capability and potential in others | Advanced |