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| **Senior Executive Work Level Standards** | Work Contribution Stream: Regulatory/Compliance |
| **Classification/Grade/Band** | Band 1 |
| **Date of Approval** | 03 July 2020 |

Primary purpose of the role

The Director, Investigations leads and directs the investigations function to achieve compliance and enforcement outcomes designed to improve industry or marketplace performance, safety and/or understanding of rights and responsibilities.

Key accountabilities

* Lead and manage a team of specialists to undertake timely, targeted and responsive compliance and enforcement activities, intelligence gathering and investigations
* Oversee the development of high quality and transparent investigative policies and procedures to enable efficient and effective investigation of compliance with statutory or regulatory requirements and support any consequential enforcement activity
* Provide timely, expert, strategic and tactical advice to executive stakeholders on critical issues arising from investigations to enable informed decision making
* Provide investigative support, assistance and guidance in relation to enforcement, audit and surveillance functions in specific areas of regulation/legislation administered by the Agency
* Provide expert strategic advice and review on issues papers, draft legislation and policy reviews to ensure that operational issues are appropriately considered

Key challenges

* Making assessments on complex and significant matters underpinned by multiple pieces of legislation, to ensure recommendations and decisions are correct, legally defensible and deliver fair outcomes
* Achieving balance between the need for sensitive management of investigations and outcomes which attract significant public and media interest and the value of harnessing the media to enhance compliance outcomes

Key relationships

| Who | Why |
| --- | --- |
| **Internal** |  |
| Manager | * Provide expert advice and make recommendations on investigation matters to influence organisational decisions and actions * Report on progress business objectives and discuss future directions |
| Cluster Directors, Investigations and professionals | * Collaborate and provide advice to contribute to decision making and strategic direction in the formulation of Cluster strategies, policies and solutions, and information sharing |
| Executive | * Provide expert advice on critical issues relating to matters of legislation, regulation and investigation |
| Direct Reports | * Lead, direct and support * Set performance expectations and manage team performance and development |
| **External** |  |
| Other NSW Government Agencies | * Establish professional networks to conduct joint investigations, maintain currency, share ideas and learnings, and collaborate on common responses to emerging and/or developing issues |
| Providers of Law Enforcement/ Prosecutors of Law | * Engage to deliver successful outcomes which enhance regulatory and compliance performance |
| Community or Industry representative groups | * Instigate and leverage regular dialogue to improve understanding of legislation and regulations enforced by the program, and consult regarding proposed changes to regulations or processes |
| Regulators and Enforcement Agencies | * Establish and develop collaborative relationships and partnerships to enhance compliance and investigative outcomes for the Agency |

# 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 | | | | |
| --- | --- | --- | --- | --- |
| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level** |
| Personal Attributes | **Display Resilience and Courage**  Be open and honest, prepared to express your views, and willing to accept and commit to change | | Create a culture that encourages and supports openness, persistence and genuine debate around critical issues  Provide clear exposition and argument for agreed positions while remaining open to valid suggestions for change  Raise critical issues and make tough decisions  Respond to significant, complex and novel challenges with a high level of resilience and persistence  Consistently use a range of strategies to remain composed and calm and act as a stabilising influence even in the most challenging situations | Highly Advanced |
| **Act with Integrity**  Be ethical and professional, and uphold and promote the public sector values | | 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 |

| FOCUS CAPABILITIES | | | | |
| --- | --- | --- | --- | --- |
| **Capability group/sets** | **Capability name** |  | **Behavioural indicators** | **Level** |
| Relationships | **Communicate Effectively**  Communicate clearly, actively listen to others, and respond with understanding and respect | | Present with credibility, engage diverse audiences and test levels of understanding  Translate technical and complex information clearly and concisely for diverse audiences  Create opportunities for others to contribute to discussion and debate  Contribute to and promote information sharing across the organisation  Manage complex communications that involve understanding and responding to multiple and divergent viewpoints  Explore creative ways to engage diverse audiences and communicate information  Adjust style and approach to optimise outcomes  Write fluently and persuasively in plain English and in a range of styles and formats | Advanced |
| **Work Collaboratively**  Collaborate with others and value their contribution | | Recognise outcomes achieved through effective collaboration between teams  Build cooperation and overcome barriers to information sharing, communication and collaboration across the organisation and across government  Facilitate opportunities to engage and collaborate with stakeholders to develop joint solutions  Network extensively across government and organisations to increase collaboration  Encourage others to use appropriate collaboration approaches and tools, including digital technologies | Advanced |
| Results | **Deliver Results**  Achieve results through the efficient use of resources and a commitment to quality outcomes | | 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 | | 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 |
| Business Enablers | **Technology**  Understand and use available technologies to maximise efficiencies and effectiveness | | Champion the use of innovative technologies in the workplace  Actively manage risk to ensure compliance with cyber security and acceptable use of technology policies  Keep up to date with emerging technologies and technology trends to understand how their application can support business outcomes  Seek advice from appropriate subject-matter experts on using technologies to achieve business strategies and outcomes  Actively manage risk of breaches to appropriate records, information and knowledge management systems, protocols and policies | Advanced |
| People Management | **Manage and Develop People**  Engage and motivate staff, and develop capability and potential in others | | Refine roles and responsibilities over time to achieve better business outcomes  Recognise talent, develop team capability and undertake succession planning  Coach and mentor staff and encourage professional development and continuous learning  Prioritise addressing and resolving team and individual performance issues and ensure that this approach is cascaded throughout the organisation  Implement performance development frameworks to align workforce capability with the organisation’s current and future priorities and objectives | 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 | | | | |
| --- | --- | --- | --- | --- |
| **Capability group/sets** | **Capability name** |  | **Description** | **Level** |
| Personal Attributes | Manage Self | | Show drive and motivation, an ability to self-reflect and a commitment to learning | 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 | Adept |
| Influence and Negotiate | | Gain consensus and commitment from others, and resolve issues and conflicts | Advanced |
| Results | Plan and Prioritise | | Plan to achieve priority outcomes and respond flexibly to changing circumstances | Adept |
| Demonstrate Accountability | | Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | Advanced |
| 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 | Adept |
| Project Management | | Understand and apply effective planning, coordination and control methods | Adept |

| COMPLEMENTARY CAPABILITIES | | | | |
| --- | --- | --- | --- | --- |
| **Capability group/sets** | **Capability name** |  | **Description** | **Level** |
| 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 |