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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, Compliance leads the delivery of a substantial program of legislative/regulatory/licensing/ investigation and/or enforcement to achieve Agency goals and ensure that practices within the target industries comply with legislated/regulated policy directions.

Key accountabilities

* Provide leadership, direction and expert professional advice and support to the Compliance Team in the delivery of high quality professional regulatory and compliance services
* Evaluate the overall performance and operational effectiveness of the compliance program by setting expectations, performance goals and quality standards, implementing performance measures and monitoring performance to identify opportunities for continuous improvement
* Develop and maintain effective collaboration with other regulatory and compliance programs across the Cluster and sector, to share intelligence and identify innovations which might be leveraged to improve program performance, and explore opportunities to achieve economies in delivery of enforcement activities
* Oversee development of communication and education strategies and activities to inform the community and the targeted industries of legislative provisions, regulations, licensing requirements, guidelines, codes, the role of the compliance program; and remedies for breach to optimise levels of industry compliance
* Ensure that all material of an evidentiary nature, including correspondence and documentation related to provision of regulatory and compliance activities, enforcement actions, breaches of regulations and reported non-compliance, is registered and managed appropriately to facilitate imposition of breach remedies and/or litigation

Key challenges

* Achieving a balance between proactive education, advice and change management and the reactive enforcement of penalties for breach or non-compliance
* Maintain operational independence and exercise fair and consistent interpretations of legislation and regulations, while recognising that there are significant and substantial implications for operators found to be in breach

Key relationships

| Who | Why |
| --- | --- |
| **Internal** |  |
| Manager | * Provide expert advice and recommendations on compliance matters to improve performance of the compliance program * Negotiate program budgets and resource requirements consistent with strategic plans and goals * Report performance of the program and identify emerging issues/risks or potentially sensitive operational or enforcement issues |
| Executive | * Collaborate and provide advice to contribute to strategic and operational planning activities, budget processes, performance review and executive decision-making processes * Provide expert advice on the level of compliance and opportunities to improve the practicability of legislation and regulation |
| Direct Reports | * Lead, guide and support * Set performance expectations and manage team performance and development |
| Agency Legal Services | * Access counsel with respect to particular enforcement matters |
| **External** |  |
| Other NSW Agencies | * Establish professional networks and relationships to maintain currency of issues, share ideas and learnings, and collaborate on common responses to emerging and/or developing issues |
| Community or Industry representative groups | * Establish and maintain regular dialogue with community and/or industry groups to improve understanding of legislation and regulations enforced by the program, and consult regarding proposed changes to regulations or processes |

# 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 | | Remain composed and calm and act constructively in highly pressured and unpredictable environments  Give frank, honest advice in response to strong contrary views  Accept criticism of own ideas and respond in a thoughtful and considered way  Welcome new challenges and persist in raising and working through novel and difficult issues  Develop effective strategies and show decisiveness in dealing with emotionally charged situations and difficult or controversial issues | 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 | **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 |
| **Influence and Negotiate**  Gain consensus and commitment from others, and resolve issues and conflicts | | Influence others with a fair and considered approach and present persuasive counter-arguments  Work towards mutually beneficial ‘win-win’ outcomes  Show sensitivity and understanding in resolving acute and complex conflicts and differences  Identify key stakeholders and gain their support in advance  Establish a clear negotiation position based on research, a firm grasp of key issues, likely arguments, points of difference and areas for compromise  Anticipate and minimise conflict within the organisation and with external stakeholders | Advanced |
| Results | **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 |
| **Demonstrate Accountability**  Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines | | Design and develop systems to establish and measure accountabilities  Ensure accountabilities are exercised in line with government and business goals  Exercise due diligence to ensure work health and safety risks are addressed  Oversee quality assurance practices  Model the highest standards of financial probity, demonstrating respect for public monies and other resources  Monitor and maintain business-unit knowledge of and compliance with legislative and regulatory frameworks  Incorporate sound risk management principles and strategies into business planning | Advanced |
| Business Enablers | **Finance**  Understand and apply financial processes to achieve value for money and minimise financial risk | | Understand core financial terminology, policies and processes, and display knowledge of relevant recurrent and capital financial measures  Understand the impacts of funding allocations on business planning and budgets  Identify discrepancies or variances in financial and budget reports, and take corrective action  Know when to seek specialist advice and support and establish the relevant relationships  Make decisions and prepare business cases, paying due regard to financial considerations | Adept |
| 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 | Adept |
| Value Diversity and Inclusion | | Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives | Adept |
| Relationships | Communicate Effectively | | Communicate clearly, actively listen to others, and respond with understanding and respect | Advanced |
| Commit to Customer Service | | Provide customer-focused services in line with public sector and organisational objectives | Adept |
| Results | Deliver Results | | Achieve results through the efficient use of resources and a commitment to quality outcomes | Advanced |
| Plan and Prioritise | | Plan to achieve priority outcomes and respond flexibly to changing circumstances | Adept |
| Business Enablers | Technology | | Understand and use available technologies to maximise efficiencies and effectiveness | 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 |
| People Management | Inspire Direction and Purpose | | Communicate goals, priorities and vision, and recognise achievements | Intermediate |
| 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 |