Role Description
Senior Disciplinary Officer

Role Description Fields	Details
Department/Agency	Department of Customer Service
Division/Branch/Unit	NSW Fair Trading
Classification/Grade/Band	Clerk Grade 7/8
ANZSCO Code	599599
OSCA Code	591999
PCAT Code	1119192
Role Family/Function/Type	Regulation & Compliance / Enforcement & Prosecution / Disciplinary / Prosecution
Date of Approval	June 2023 (updated August 2025)
Agency website	www.customerservice.nsw.gov.au

Primary purpose of the role

Undertakes disciplinary processes under relevant acts against current and former license holders, accredited certifiers, and registered practitioners. The role also undertakes assessment and prepares high quality documentation in line with legislative requirements to initiate proceedings, assess submissions, recommend outcomes

Key accountabilities

- Review and assess briefs of evidence and recommendations for disciplinary action to consider whether there is sufficient evidence to proceed to disciplinary action
- Draft Notices to Show Cause and Notices of Suspension in line with legislative requirements to ensure consistency and adherence to whole-of-government and department policy and procedures
- Prepare, review and assess oral and written submissions made by parties subject to Notices to Show Cause, policies and processes and their legal representatives to ensure the successful delivery of disciplinary proceedings
- Draft Reasons and Notices of Decision recommending disciplinary action to ensure consistency and adherence to whole-of-government and Organisational policy and procedures
- Assist in managing any appeals arising from disciplinary action, including reviewing legal documents and providing instructions to Legal Services and external legal representatives
- Develop and maintain effective working relationships with consumers, traders and their legal representatives, senior management, government agencies and other relevant parties to maintain effective open channels of communication
- Ensure that the disciplinary process and practices comply with legislative requirements including procedural fairness and delegated authorities to ensure consistency and adherence to whole-of-government and department policy and procedures
- Maintain statistical data, records and outcomes and provide timely and accurate reporting of disciplinary action undertaken to meet service standards

Key challenges

- Assessing recommendations for disciplinary action, related information and documentation, prepare and review Notices to Show Cause and Notices of Decision in a timely fashion given the high volume legislative and politically sensitive environment
- Using specialist legal knowledge, sound judgement and discretionary skills to recommend supportable, ethical decisions regarding appropriate disciplinary actions while managing the effective allocation of resources to meet work priorities and meet agreed service standards
- Providing timely, reliable and consistent disciplinary advice and outcomes while working collaboratively with a wide range of internal and external stakeholders with varying expectations, viewpoints, and interests

Key relationships

Internal

Who	Why
Manager	• Escalate issues, keep informed, advise, receive guidance and instructions • Receive briefs of evidence and recommendations for disciplinary action • Provide expert advice, guidance and feedback
Portfolio Directors and Managers	• Provide expert customer focused advice, assistance, and support
Work team	• Review documentation, support team members and work collaboratively to contribute to achieving the team's business outcomes • Participate in meetings to share information and provide input on issues • Support team members and work collaboratively to contribute to achieving business outcomes
Internal Investigators	• Review briefs of evidence and recommendations for disciplinary action
Customers/Stakeholder	• Manage the flow of information, seek clarification and provide customer-focussed advice and responses to ensure prompt resolution of issues • Address/respond to queries and provide customer-focussed solutions where possible, or redirect query to relevant area

External

Who	Why
Customers/Stakeholder	• Respond and resolve queries, provide information and/or resources or redirect to the appropriate person or business unit if required • Develop and maintain effective working relationships and open channels of communication to provide and obtain information, and ensure effective management and implementation of expectations and standards • Engage with, consult, seek clarification and provide customer focused advice and responses to ensure the prompt resolution of issues
Authority Holders, External Legal Representatives and Legal Services	• Consult, liaise and communicate on various matters in regard to disciplinary proceedings • Provide instructions in relation to disciplinary processes • Represent the Branch in appeals before the relevant Courts and Tribunals

Role dimensions

Decision making

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

Reporting line

Manager Disciplinary Action Unit

Direct reports

This role has no direct reports

Budget/Expenditure

As per the Customer Service Delegations

Key knowledge and experience

- Relevant qualifications and/or experience in law, or investigations (or be actively working towards)

Essential requirements

Appointment and ongoing assignment may be subject to restrictions and the satisfactory participation in mandatory pre-employment and ongoing probity screening, in accordance with relevant Legislation and/or related policies

Capabilities for the role

The NSW public sector 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

	**Display Resilience and Courage** Be open and honest, prepared to express your views, and willing to accept and commit to change	• Be flexible and adaptable and respond quickly when situations change • Offer own opinion and raise challenging issues • Listen when ideas are challenged and respond appropriately • Work through challenges • Remain calm and focused in challenging situations	Intermediate
	**Act with Integrity** Be ethical and professional, and uphold and promote the public sector values	• Represent the organisation in an honest, ethical and professional way and encourage others to do so • Act professionally and support a culture of integrity • Identify and explain ethical issues and set an example for others to follow • Ensure that others are aware of and understand the legislation and policy framework within which they operate • Act to prevent and report misconduct and illegal and inappropriate behaviour	Adept
	**Communicate Effectively** Communicate clearly, actively listen to others, and respond with understanding and respect	• Tailor communication to diverse audiences • Clearly explain complex concepts and arguments to individuals and groups • Create opportunities for others to be heard, listen attentively and encourage them to express their views • Share information across teams and units to enable informed decision making • Write fluently in plain English and in a range of styles and formats • Use contemporary communication channels to share information, engage and interact with • diverse audiences	Adept
	**Commit to Customer Service** Provide customer-focused services in line with public sector and organisational objectives	Take responsibility for delivering high-quality customer-focused services Design processes and policies based on the customer's point of view and needs Understand and measure what is important to customers Use data and information to monitor and improve customer service delivery Find opportunities to cooperate with internal and external stakeholders to improve outcomes for customers Maintain relationships with key customers in area of expertise Connect and collaborate with relevant customers within the community	Adept

	**Plan and Prioritise** Plan to achieve priority outcomes and respond flexibly to changing circumstances	• Understand the team and unit objectives and align operational activities accordingly • Initiate and develop team goals and plans, and use feedback to inform future planning • Respond proactively to changing circumstances and adjust plans and schedules when necessary • Consider the implications of immediate and longer-term organisational issues and how these might affect the achievement of team and unit goals • Accommodate and respond with initiative to changing priorities and operating environments	Intermediate
	**Project Management** Understand and apply effective project planning, coordination and control methods	• Perform basic research and analysis to inform and support the achievement of project deliverables • Contribute to developing project documentation and resource estimates • Contribute to reviews of progress, outcomes and future improvements • Identify and escalate possible variances from project plans	Intermediate

Occupation specific capability set

Capability group/sets	Capability name	Behavioural indicators	Level
	**Legal Research** Undertake legal research	Apply an understanding of the applicable legal system, relevant sources of law and operation of precedent to legal research tasks Undertake legal research tasks in an efficient and targeted manner by selecting relevant, current and authoritative materials and analysing the information found to guide further research Present reliable, clear and accurate results of legal research undertaken and suggest avenues for further research Make effective use of knowledge management and legal research technologies to achieve results.	Level 2

	**Legal Drafting** Prepare legal documents to achieve client outcomes	Adapt precedents and templates to draft legally and procedurally correct court and tribunal documents with minimal guidance. Apply knowledge of relevant procedural, evidentiary and ethical rules to draft effective court or tribunal documents Apply knowledge of relevant procedural, evidentiary and ethical rules to draft effective court or tribunal documents Assist clients by using legal knowledge to draft, review or amend legal documents which achieve the client's intended purpose, comply with policy and minimise legal and commercial risk Apply knowledge of the law and stylistic and mechanical requirements to drafting transactional documents to ensure that documents drafted are legally effective	Level 2

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.

Capability group/sets	Capability name	Description	Level
	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	Foundational
	Work Collaboratively	Collaborate with others and value their contribution	Intermediate
	Influence and Negotiate	Gain consensus and commitment from others, and resolve issues and conflicts	Adept
	Deliver Results	Achieve results through the efficient use of resources and a commitment to quality outcomes	Adept
	Think and Solve Problems	Think, analyse and consider the broader context to develop practical solutions	Adept
	Demonstrate Accountability	Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	Intermediate

Business Enablers	Finance	Understand and apply financial processes to achieve value for money and minimise financial risk	Foundational
Business Enablers	Technology	Understand and use available technologies to maximise efficiencies and effectiveness	Intermediate
Business Enablers	Procurement and Contract Management	Understand and apply procurement processes to ensure effective purchasing and contract performance	Intermediate

Occupation specific capability set

Capability group/sets	Capability name	Description	Level
Legal	Statutory interpretation	Interpret legislation, subordinate legislation and instruments in accordance with legislation and accepted legal principles	Level 2