Role Description
Regulatory Operations Officer

Role Description Fields	Details
Cluster	Customer Service
Department/Agency	Department of Customer Service
Division/Branch/Unit	Various
Classification/Grade/Band	Clerk Grade 5/6
ANZSCO Code	541211
PCAT Code	1119192
Role Family/Function/Type	Regulation and Compliance / Regulatory Operations, Assessment and Advice
Date of Approval	May 2021 (Reviewed July 2022)
Agency website	www.customerservice.nsw.gov.au

Primary purpose of the role

Responsible for assessing applications for individuals and businesses in regulated sectors in accordance with legislation, policies and procedures and providing, accurate information and support to assist customers and clients to ensure compliance with legislation administered by the Regulator.

Key accountabilities

- Effectively assess and determine applications, claims, authorisations, and associated transactions in accordance with delegation, legislation, policies, procedures and service level agreements to ensure the accurate and on-time delivery of services
- Provide timely, accurate information and advice to customers, decision makers and other stakeholders on a wide range of matters relating to regulatory and legislative obligations and entitlements to ensure compliance
- Gather information and evidence; and/or contribute to the preparation of timely and accurate internal and external reports, correspondence, briefings and submissions to inform decision making
- Analyse work volumes, report new or emerging issues or trends, provide recommendations and contribute to changes and strategies to facilitate the efficient flow of work and optimal service delivery outcomes
- Maintain accurate and timely records and systems to ensure compliance, and the integrity of information provided to customers and stakeholders to ensure quality outcomes
- Participate in the Branch's internal quality assurance programs to ensure a robust risk-based approach to assessments and a culture of quality and continuous improvement.

Key challenges

- Maintaining technical competence in legislation, policies, procedures and guidelines while working in a high volume and sensitive, regulatory environment
- Managing conflicting priorities presented by internal and external stakeholders in a compliance and regulatory environment to resolve contentious issues, while maintaining positive working relationships.

Key relationships

Internal

Who	Why
Manager	• Escalate issues, keep informed, advice, receive guidance and instructions • Identify sensitive issues, risk & opportunities and recommend potential solutions • Provide regular updates on key projects and priorities
Direct report/s (If applicable)	• Inspire, guide, support, motivate, coach, mentor, develop and manage performance • Review work and proposals to ensure integrity and accountability of decision making • Provide own perspective and share information • Demonstrate the importance of and work collaboratively with to achieve outcomes
Work team	• Participate in meetings to share information and provide input on issues • Mentor and train staff • Represent work group perspective and share information

External

Who	Why
Customers/Stakeholder	• Provide professional advice to ensure customers comply with their • legislative obligations • Attend external forums on behalf of the organisation • 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 • Work with internal stakeholders for an optimal regulatory outcome
Other Government and industry representatives, and stakeholders	• Collaborate in relation to applications/claims and related matters, and provide information within legislative requirements • Collaborate with Service NSW, industry representatives and other stakeholders to increase awareness of requirements

Role dimensions

Decision making

This role has autonomy and makes decisions under their direct control as directed by their Coordinator/Team Leader/Manager and refers to the team Leader/Manager 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

Business unit manager, team leader or coordinator

Direct reports

This role may have direct reports (if applicable)

Budget/Expenditure

As per the Customer Service Delegations

Key knowledge and experience

Demonstrated experience in a high volume and complex assessment environment or within industry in a role which has responsibility for ensuring compliance with requirements.

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 • Support a culture of integrity and professionalism • Understand and help others to recognise their obligations to comply with legislation, policies, guidelines and codes of conduct • Recognise and report misconduct and illegal and inappropriate behaviour • Report and manage apparent conflicts of interest and encourage others to do so	Intermediate
	**Commit to Customer Service** Provide customer-focused services in line with public	• Focus on providing a positive customer experience • Support a customer-focused culture in the organisation	Intermediate

	sector and organisational objectives	• Demonstrate a thorough knowledge of the services provided and relay this knowledge 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 • Cooperate across work areas to improve outcomes for customers	
	**Think and Solve Problems** Think, analyse and consider the broader context to develop practical solutions	• Identify the facts and type of data needed to understand a problem or explore an opportunity • Research and analyse information to make recommendations based on relevant evidence • Identify issues that may hinder the completion of tasks and find appropriate solutions • Be willing to seek input from others and share own ideas to achieve best outcomes • Generate ideas and identify ways to improve systems and processes to meet user needs	Intermediate
	**Demonstrate Accountability** Be proactive and responsible for own actions, and adhere to legislation, policy and guidelines	• Be proactive in taking responsibility and being accountable for own actions • Understand delegations and act within authority levels • Identify and follow safe work practices, and be vigilant about own and others' application of these practices • Be aware of risks and act on or escalate risks, as appropriate • Use financial and other resources responsibly	Intermediate
	**Technology** Understand and use available technologies to maximise efficiencies and effectiveness	• Demonstrate a sound understanding of technology relevant to the work unit, and identify and select the most appropriate technology for assigned tasks • Use available technology to improve individual performance and effectiveness • Make effective use of records, information and knowledge management functions and systems • Support the implementation of systems improvement initiatives, and the introduction and roll-out of new technologies	Intermediate
	**Manage and Develop People (If Applicable)** Engage and motivate staff, and develop capability and potential in others	• Clarify the work required, and the expected behaviours and outputs • Clearly communicate team members' roles and responsibilities • Contribute to developing team capability and recognise potential in people • Recognise good performance, and give support and regular constructive feedback linked to development needs	Foundational

	• Identify appropriate learning opportunities for team members • Create opportunities for all team members to contribute • Act as a role model for inclusive behaviours and practices • Recognise performance issues that need to be addressed and seek appropriate advice

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	Intermediate
	Value Diversity and Inclusion	Demonstrate inclusive behaviour and show respect for diverse backgrounds, experiences and perspectives	Foundational
	Communicate Effectively	Communicate clearly, actively listen to others, and respond with understanding and respect	Intermediate
	Work Collaboratively	Collaborate with others and value their contribution	Intermediate
	Influence and Negotiate	Gain consensus and commitment from others, and resolve issues and conflicts	Intermediate
	Deliver Results	Achieve results through the efficient use of resources and a commitment to quality outcomes	Intermediate
	Plan and Prioritise	Plan to achieve priority outcomes and respond flexibly to changing circumstances	Foundational
	Finance	Understand and apply financial processes to achieve value for money and minimise financial risk	Foundational
	Procurement and Contract Management	Understand and apply procurement processes to ensure effective purchasing and contract performance	Foundational
	Project Management	Understand and apply effective project planning, coordination and control methods	Foundational

	Inspire Direction and Purpose (If Applicable)	Communicate goals, priorities and vision, and recognise achievements	Foundational
	Optimise Business Outcomes (If Applicable)	Manage people and resources effectively to achieve public value	Foundational
	Manage Reform and Change (If Applicable)	Support, promote and champion change, and assist others to engage with change	Foundational