



Ngākau aroha Have heart

Kotahitanga Better together

Kia māia Be brave

Mahia Nail it

Position Description

Title:	Compliance Officer
Group:	Regulatory Services
Reports to:	Manager Compliance
Band:	15
Date:	June 2021

Context

Our purpose *Waka Kotahi. Moving. Together*

A land transport system connecting people, products and places for the thriving Aotearoa.

Group and team purpose

As the lead regulator for land transport our purpose is to ensure that the system is safe, efficient, effective and operates in the public interest. Safety is a top priority for Waka Kotahi and we, as Te Rōpu Waeture (the Regulatory Services group), aim to improve safety and reduce the risk of harm by being a firm and fair real-world regulator applying principles of good practice grounded in Te Ao Maori - Whakapono (Integrity), Manaakitanga (Caring for people), Whanaungatanga (Relationships) and Kotahitanga (Unity). Being a real-world regulator means we take a systems view that is focused on improving safety outcomes and reducing harm, we work to understand why people behave the way they do and are pragmatic in how we respond, we encourage and educate to support people to comply and enforce compliance when necessary.

The Safer Commercial Transport team is responsible for regulating commercial transport operators: from heavy vehicles to small passenger services. We do this by monitoring our sector through audits, reviews and investigations and working with industry to drive best practice.

The team regulates transport operators that have been licensed to operate as a transport service.

Position purpose

The purpose of this role, as a frontline regulatory practitioner, is to identify and reduce risk within the commercial transport sector, ensuring compliance through compliance monitoring, coaching, investigating and auditing commercial transport operators. This role will provide technical expertise, advice and regulatory interventions to ensure compliance with relevant rules, standards and guidelines.

Key relationships

Internal:

- Safer Commercial Transport
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- Regulatory Services
 - All other business groups

External:

- Transport operators
- Government agencies
- Central government transport sector agencies
- Stakeholders
- Customers

Dimensions

Location: Multiple

What the position involves

Accountabilities

As well as being accountable for the Waka Kotahi values and behaviours, your role has the following specific key accountabilities:

- Delivers full regulatory spectrum from education and advocacy through to enforcement action, supported by balanced and well-reasoned decision making
- End-to-end monitoring and resolution of incidents, complaints and compliance assessments
- Uses knowledge and experience to provide education, resources and support to industry partners, stakeholders and colleagues to influence operators to achieve compliance
- Manages case/file load to ensure all objectives and timeframes are met in accordance with organisational requirements, including early reporting of issues impacting on the ability to meet organisational requirements
- Draft and serve legal notices and actions in accordance with delegated responsibility and Waka Kotahi NZ Transport Agency significance policy
- Analyse information and data to identify areas where non-compliance may be occurring to develop a plan of action
- Promote Tū ake, Tū maia, our regulatory strategy, and the principles of whakapono, manaakitanga, kotahitanga and whanaungatanga

Risk identification and management

- Identify risk both at an operator and at an industry level
- Use information gathered through investigations to understand and determine best method to treat non-compliance
- Address identified risk through deployment of appropriate compliance tools
- Investigate non-compliance within the commercial transport sector at a local, regional or national level into areas where non-compliance
- Audit and investigate licence and endorsement holders producing reports that meet the required regulatory standard for prosecution and/or court
- Prepare and deliver formal presentations where required to sector groups

Analysis and decision making

- Make robust regulatory decisions or recommendations using experience, knowledge and high-quality decision-making to hold people to account or to prevent harm from occurring
- Utilise evidence from investigations to analyse industry trends and to feed back into the policy/decision-making of the group

Continuous improvement

- Contribute to the development of new methodologies and tools to prevent non-compliance
 - Use information gathered through investigations to recommend regulatory strategies to enable innovative ways of achieving better levels of compliance
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Develop and maintain up to date knowledge and relevant legislation and industry best practice

There is an expectation that the role accountabilities may evolve over time. You may also be involved in other activities as part of a career and development plan. These will be reflected in your performance and development goals that are set in discussion with your People Leader.

Working effectively with Māori

Te Ara Kotahi – our Māori Strategy – supports Waka Kotahi to work effectively with Māori and is underpinned by uara (values) and our mātāpono (principles) of – Rangatiratanga, Manaakitanga, Kaitiakitanga, Whanaungatanga, Te Tiriti o Waitangi, Mana o te Reo, Huna Kore (no surprises approach), Auahatanga (creativity and innovation), Whakaponono (integrity and honesty) and in recognition of Cultural Values.

As Waka Kotahi is an agent of the Crown, Te Tiriti o Waitangi/The Treaty of Waitangi is important to everything we say or do. We recognise it as an enduring document central to New Zealand's past, present and future. Building and maintaining meaningful relationships is important to work effectively with Māori, stakeholders and other agencies.

We accept our privileged role and responsibility to the partnership of the Treaty of Waitangi / Te Tiriti o Waitangi.

Values and Behaviours

Our values and behaviours underpin everything we do and form the core behavioural expectations for your role.

NGĀKAU AROHA *Have heart* means we have the wellbeing of our people, community and planet at the heart of everything we do. As Waka Kotahi we:

- Contribute to a safe and sustainable work environment.
- Show respect for all people.
- Treat others how we would like to be treated.
- Are inclusive and connected
- Look out for each other

KOTAHITANGA *Better together* means we achieve great things when we work together to build trusted relationships inside and outside of Waka Kotahi. As Waka Kotahi we:

- Build better relationships
- Join up our thinking and our doing
- Remove barriers to collaboration
- Seek and listen to others to learn and grow
- Invite conversation and feedback and always improve

KIA MĀIA *Be brave* means our outcomes are better when we bring courage and self-belief to our passion and purpose. As Waka Kotahi we:

- Speak up when it matters
- Challenge to achieve the right outcome
- Make and own the tough decisions
- Find different perspectives to challenge thinking
- Face up to the difficult issues

MAHIA *Nail it* means we create enduring legacy, delivering our best work every day. As Waka Kotahi we:

- Are clear on what's important
- Deliver on the right outcomes
- Hold ourselves to account
- Help others succeed
- Celebrate success

As a member of the state sector we also hold ourselves to the highest standards of integrity and conduct.

SPIRIT OF SERVICE

Ka mahitahi mātou o te ratonga tūmatanui kia hei painga mō ngā tāngata o Aotearoa i āianeī, ā, hei ngā rā ki tua hoki. He kawenga tino whaitake tā mātou hei tautoko i te Karauna i runga i āna hononga ki a ngāi Māori i raro i te Tiriti o Waitangi. Ka tautoko mātou i te kāwanatanga manapori. Ka whakakotahingia mātou e te wairua whakarato ki ō mātou hapori, ā, e arahina ana mātou e ngā mātāpono me ngā tikanga matua o te ratonga tūmatanui i roto i ā mātou mahi.

In the public service we work collectively to make a meaningful difference for New Zealanders now and in the future. We have an important role in supporting the Crown in its relationships with Māori under the Treaty of Waitangi. We support democratic government. We are unified by a spirit of service to our communities and guided by the core principles and values of the public service in our work.

More information on all the behaviours and standards are included in the Waka Kotahi Te Tikanga Whanonga – Our Code of Conduct.

The value you will bring

Knowledge and experience:

- Experience in a regulatory profession including investigative, auditing, interviewing and negotiation skills and applying regulatory interventions would be an advantage
- The ability to understand and apply legislation, policy and other technical information and apply it in an operational context
- The ability to develop workable solutions to problems using a range of analytical and problem-solving skills
- Strong relationship building skills and the ability to relate well, create rapport and build credibility with all kinds of people, at all levels
- Excellent written and verbal communication skills, including effective presentation and report writing skills
- Ability to effectively de-escalate tense situations
- Excellent influencing and coaching skills to improve performance and drive behaviour change
- Ability to apply a systematic and methodical approach to work
- Ability to demonstrate perseverance to achieve and exceed goals

Qualifications:

- Tertiary qualification or relevant experience in a regulatory compliance role

To learn more about what we do visit www.nzta.govt.nz