

ENERGY MARKETS DIVISION

Role title:	Senior Investigations and Compliance Officer	Position number:	ERA21968
Status:	Permanent	Classification:	Level 6
Team area:	Energy Markets Compliance and Enforcement	Effective date:	September 2019

Conditions of employment are in accordance with the *Public Service and Government Officers CSA General Agreement 2017* and the *Public Service Award 1992*

Reporting Relationships

Number of Positions Supervised Nil

Supervisor

Position Number	ERA21537
Position Title	Assistant Director
Classification/Level	Level 8

Organisational Context

Within the Economic Regulation Authority (ERA), the Energy Markets Division undertakes the ERA's monitoring, reviewing, approval, reporting and compliance roles and responsibilities under the Wholesale Electricity Market (WEM) and Gas Services Information (GSI) Rules and performs other energy market related functions. This includes engaging in energy reform initiatives within WA, and nationally, where appropriate.

Within the Energy Markets Division, the Compliance and Enforcement team's role includes monitoring, enforcing and ensuring compliance of market rules by market participants.

Position Summary

Within the Compliance Team, this position:

- provides education and guidance to participants on compliance requirements;
- monitors compliance by energy market participants with the WEM and GSI Rules, including undertaking proactive activities to detect and deter non-compliance; and
- investigates allegations of non-compliance.

Position Activities

Education and Capacity Building Role

Lead and coordinate development of education initiatives and materials including:

- analysis of compliance trends to identify education targets;
- drafting of education materials;
- initiating early intervention actions to support participant compliance; and
- coordination of participant consultation processes (e.g. workshops, public submission processes)

Compliance Role

Has a key role in developing and implementing proactive compliance programs for targeted areas of the rules and/or for targeted participants, including:

- analysing complex market data and other information to identify targets;
- issuing letters/emails to participants including requests for information or explanation;
- accessing and analysing the controls, processes and procedures that participants have in place to audit against the requirements outlined in the market rules; and
- preparing program reports to the team leader, executive and Governing Board including findings and recommendations about participant compliance and suggested actions to be taken by the ERA.

Investigations Role

Undertaking breach investigations including:

- assessing and verifying allegations by:
 - identifying, extracting and conducting extensive analysis of complex market data and other information from data bases using analytical tools; and
 - identifying and gathering evidence from relevant parties to validate facts;
- interpreting and applying market rules and other legislative instruments;
- preparing briefs to seek legal advice where appropriate and applying legal advice to develop investigative findings;
- documenting evidence-based investigation findings and recommendations in detailed, high quality investigation reports to the Assistant Director, Executive Director and Chief Executive;
- briefing the team leader, executive and Governing Board; and
- leading the negotiation and enforcement of appropriate outcomes with non-compliant participants (e.g. appropriate mitigating actions, immediate cessation of behavior etc.).

Governance/Accountabilities

- Actively promotes and models behaviour demonstrating compliance with public sector legislative requirements and departmental policies, procedures, including exercising given delegations. In this regard particular attention is given to the application of:
 - the guidelines and principles of the Western Australian Public Sector Code of Ethics and the ERA's Code of Conduct within a framework of high ethical standards and behaviours; and
 - appropriate Occupational Safety and Health and Equal Opportunity legislation and plans, policies, standards and practices.

Other

- Other duties as required.

Position Competencies

Required

Demonstrated skills, knowledge and experience in the following competencies:

- well-developed written skills including the ability to:
 - present the facts (including complex and complicated data) succinctly and accurately; and

- develop sound conclusions and recommendations in a clear, concise and structured manner targeted to the relevant audience/es in an investigations and compliance context;
- attention to detail and ability to uphold high standards of quality;
- ability to self-manage business as usual activities and projects, from planning through to delivery (for example, discrete investigations as well as larger scale compliance programs);
- ability to undertake complex investigations and form sound conclusions. This includes but is not limited to the ability to undertake compliance or comparable activities including, gathering and analysing evidence, making enquiries, initiating early intervention actions, negotiating outcomes and implementing enforcement actions;
- ability to interpret and apply rules and legislation in the context of making sound judgements on compliance; and
- extracting and analysing information, including large datasets, from databases using excel, SQL and/or other tools.

Post secondary qualification or equivalent in investigations or a relevant field such as compliance.

Desirable

Experience in providing audience appropriate education and guidance through verbal and written communications.

Understanding of electricity markets.

Appointment Conditions

Location:	Perth
Accommodation:	NA
Allowances/Special Conditions:	NA
Specialised Equipment Operated:	NA

Certification

The details contained in this document are an accurate statement of the duties, responsibilities and other requirements of the job.

Acting Executive Director

Name Sara O'Connor
Signature
Date

Chief Executive Officer

Name Jenness Gardner
Signature
Date