

## POSITION DESCRIPTION

POSITION DETAILS	
<b>Position Title:</b>	<b>Compliance Officer</b>
<b>Position Number:</b>	10030
<b>Classification Grade:</b>	2 (a)
<b>Portfolio:</b>	Governance, Legal and Compliance
<b>Department/Area:</b>	Compliance
<b>Branch/Location:</b>	Armidale HO/Remote
<b>Reports to:</b>	Senior Manager Compliance
<b>Direct reports:</b>	Nil
<b>Essential Requirements:</b>	1. Requires a satisfactory National Police Check. 2. Australian Permanent Residency or Citizenship.

PORTFOLIO
<p>The Governance, Legal &amp; Compliance Office is responsible for all matters pertaining to the governance of Regional Australia Bank, consisting of, but not limited to, coordination of legal services to and on behalf of Regional Australia Bank, compliance management, the Internal Audit function and policy and management committee administration.</p>

POSITION PURPOSE
<p>The Compliance Officer plays a key role in supporting the effective operation of Regional Australia Bank's compliance framework. This includes monitoring compliance activities, assisting with the assessment and implementation of regulatory requirements, and providing guidance to business units to ensure adherence to statutory and regulatory obligations.</p> <p>The role involves ongoing compliance monitoring, risk identification, reporting, and contributing to a culture of compliance across the organisation. Through proactive engagement and accurate reporting, the Compliance Officer supports the business in meeting its regulatory responsibilities and continuously improving compliance processes.</p>

## KEY RESPONSIBILITIES

Compliance Management and Support (40%)	Success measures
<ul style="list-style-type: none"> <li>Monitor compliance obligations and ensure adherence to relevant laws, regulations, and internal policies.</li> <li>Assist in the development, review, and implementation of compliance policies, procedures, and controls.</li> <li>Identify potential areas of compliance risk and support the development of corrective action plans.</li> </ul>	<p>Compliance policies and procedures are consistently followed, with gaps identified and addressed</p> <p>Compliance risks are identified, assessed, and mitigated through proactive action plans</p> <p>Compliance assessments and reports are completed on time with no significant errors</p>

<ul style="list-style-type: none"> <li>• Conduct compliance monitoring activities, including assessments and reporting, to identify and address non-compliance issues.</li> <li>• Support compliance-related projects and initiatives to enhance the organisation’s compliance framework.</li> <li>• Assist in responding to compliance-related inquiries, complaints, and regulatory audits.</li> <li>• Provide advice and support on compliance matters to internal stakeholders.</li> </ul>	<p>Compliance gaps identified early and addressed with corrective actions</p> <p>Compliance-related enquiries, complaints, and audits are responded to within required timeframes</p> <p>Internal stakeholders receive clear and actionable compliance advice</p>
<p><b>Regulatory Awareness &amp; Risk Management (30%)</b></p>	<p><b>Success measures</b></p>
<ul style="list-style-type: none"> <li>• Maintain up-to-date knowledge of statutory and regulatory requirements applicable to the banking sector.</li> <li>• Monitor and assess regulatory changes, supporting the effective integration into business practices.</li> <li>• Ensure statutory licence requirements are monitored and adhered to through appropriate controls and reporting.</li> <li>• Support the first line of defence in embedding compliance processes across the business.</li> <li>• Assist in the investigation of compliance issues and ensure timely resolution</li> </ul>	<p>New regulatory requirements are assessed, communicated, and incorporated into business processes.</p> <p>Internal compliance controls and statutory licence requirements remain up to date and effective</p> <p>Business teams demonstrate improved understanding and management of compliance risks</p> <p>Compliance issues are investigated and resolved promptly in accordance with regulatory expectations</p>
<p><b>Training, Communication and Engagement (30%)</b></p>	<p><b>Success measures</b></p>
<ul style="list-style-type: none"> <li>• Promote a strong compliance culture by supporting employees in understanding their compliance obligations.</li> <li>• Assist in the development and delivery of compliance training and awareness programs.</li> <li>• Collaborate with internal teams to integrate compliance requirements into daily operations.</li> <li>• Foster positive relationships with stakeholders to enhance compliance awareness and best practices.</li> <li>• Ensure compliance insights inform governance and operational improvements.</li> </ul>	<p>Employees demonstrate increased awareness of compliance responsibilities through training participation and feedback</p> <p>Compliance is integrated into decision-making and daily business operations</p> <p>Internal teams actively engage with compliance initiatives and apply best practices</p> <p>Compliance updates and guidance are effectively delivered and understood across the organisation</p>

<p><b>EXPECTATIONS</b></p>
<p>Staff are required to read, understand, and follow all Regional Australia Bank policies, procedures, and reasonable direction, demonstrate a commitment to fostering a safe, respectful, and inclusive workplace and exhibit professional behaviours in accordance with Regional Australia Banks Code of Conduct.</p>

## SELECTION CRITERIA

1. Understanding of compliance, risk, or regulatory environments within an ADI with relevant work exposure and the ability to interpret and apply legislation, policies, rules, and regulations.
2. Strong computer skills with demonstrated knowledge of the Microsoft Office Suite of products and Compliance Management Systems.
3. High level of integrity and discretion, exercising sound judgment and maintaining strict confidentiality.
4. Excellent communication and stakeholder engagement skills, with the ability to consult, influence, and negotiate effectively across all levels.
5. Exceptional attention to detail and organisational skills, ensuring accuracy and compliance with reporting and deadlines.
6. Proven ability to collaborate in a team environment, contributing to a strong compliance culture.

**Portfolio Executive/Delegate:**

**Date:**

**People and Culture:**

**Date:**