

Update

Ministry

Arts, Culture and Status of Women

Describe: Basic Job Details

Position

Position ID

Position Name (200 character maximum)

Compliance Officer

Current Class

Finance 2

Job Focus

Operations/Program

Supervisory Level

00 - No Supervision

Agency (ministry) code Cost Centre Program Code: (enter if required)

Employee

Employee Name (or Vacant)

Organizational Structure

Division, Branch/Unit

SWCCD/Cultural Industries/AMF and Financial Ops

☐ Current organizational chart attached?

Supervisor's Position ID

Supervisor's Position Name (30 characters)

Supervisor's Current Class

Financial Operations Manager

Design: Identify Job Duties and Value

Changes Since Last Reviewed

Date yyyy-mm-dd

2018-06-11

Responsibilities Added:

Preparation and reconciliation of the monthly forecast for CI branch, grant repayments and delinquent accounts, assisting with forecast and budgeting, and generalized list of related responsibilities.

Responsibilities Removed:

SPDG Grant has been discontinued. The Compliance Officer's main focus is on the Alberta Made for Production Grant which is complex and requires a strong understanding of the operational guidelines and grant legislation.

Job Purpose and Organizational Context

Why the job exists:

The Cultural Industries Branch of Status of Women, Community and Cultural Development administers the Alberta Media Fund (AMF) grants. These programs grow and expand cultural industries in Alberta which result in job creation and diversification of the economy. AMF provides \$8M in grants annually to support the Alberta's cultural industries. Funding is provided in accordance with provincial guidelines and applicable acts and regulations.

This position reports directly to the Manager of the Alberta Media Fund and Financial Operations. The Compliance Officer is responsible for providing financial analysis, support and advice to the AMF grants and oversees the compliance and quality assurance perspective. The Compliance Officer is responsible for ensuring established policies and procedures are being implemented consistently, and reviewing applicant files for auditing standards of completeness and accuracy. The Compliance Officer will monitor risks to applicants compliance with grant criteria and support the development of identification and mitigation strategies.

The Compliance Officer is responsible for identifying and resolving risks associated with grant programs and will provide expertise amongst the unit/branch that will influence development of policies, procedures, and operating guidelines. The position provides direct advisory services including information and advice to affected stakeholders, ensuring grant recipients are compliant with conditional grant agreements, legislation, operational guidelines, and accounting standards audit guidelines. The Compliance Officer provides direction and expertise in relation to internal and external audit requirements and acts as the primary lead liaison with the Office of the Auditor General. The Compliance Officer assists in preparing recommendations on, and implementation of new grant programs and changes to existing programs.

The Compliance Officer completes and assists the Manager with the monthly reconciliation and forecasting for the branch. Providing analysis and insight in the \$16.5M overall budget. The position will communicate directly with Policy and Program Coordination and Financial Services on requests and issues.

Responsibilities

Job outcomes (4-6 core results), and for each outcome, 4-6 corresponding activities:

Quality assurance and compliance activities are undertaken on applications and administration processes to foster consistency in program administration and high quality service to all Cultural Industry clients.

- Review files for completeness and accuracy on grant files as part of ongoing quality assurance.
- Follow up on compliance issues and assist grant recipients in meeting compliance requirements.
- If the accountability requirements cannot be achieved, make the appropriate arrangements to recover the grant funding (or the appropriate portion thereof).
- Prepare recommendations with rationale to the Manager, Alberta Media Fund and Financial Operations on the recovery of grant funds.
- Provide expertise and advice to the team and other units or ministries as needed on Cultural Industries processes and compliance requirements.
- Ensure that applications are processed in accordance with program protocols, decisions are documented, and records are properly stored in accordance with policy and program audit guidelines.
- Follow established legislation, regulations, policies, operational guidelines, and accounting standards.
- Analyze and interpret complex financial statements, reports and information.
- Ensure that supporting documentation is received, considered, and retained to support the determination of eligibility as needed.
- Reconcile and report on grant accounts. This includes year-end reporting, and reconciliation.
- Ensure contract and administrative payments are processed efficiently and in accordance with Ministry financial policies.
- Ensure the accuracy and integrity of program accounting data.

Provide audit coordination, liaison, and support service to support transparency and accountability.

- Identify audit requirements and apply risk analysis to procedural standards.
- Coordinate with Financial Services to prepare documentation necessary for audit.
- Coordinate with relevant stakeholders, and support scheduling and logistics as required.
- Support the Manager, Alberta Media Fund and Financial Operations in working with the Office of the Auditor General on program area reviews and financial audits.
- Liaise with the Alberta Gaming and Liquor Commission (AGLC) on file specific compliance audits.
- Communicate directly and regularly with grant recipients on compliance related issues including complex and/or sensitive information.

Develop policies, processes, and procedures relating to compliance with grant conditions. This requires evaluating compliance issues, identifying the need for new or policy changes, and analyzing the impact of new or policy changes on stakeholders.

- Develop new and/or changes to policies relating to compliance with grant conditions. The Compliance Officer may also consult with stakeholders, program staff, or a number of government departments to assess the ease and practicality of adopting new policy or policy changes and the overall impact on the administration of conditional grants.
- Design or amend the compliance processes and procedures in order to maximize use of resources in following up on the reporting requirements for grant recipients. The Compliance Officer recognizes that the inventory of conditional grants is constantly growing. It is therefore necessary that processes and procedures have to be updated regularly in order to manage the increase in conditional grants without losing sight of the program objectives and accountability guidelines.
- Acts as a liaison with auditors.

Conduct or help conduct investigation and reviews. In some cases, grant programs, processes and procedures are subject to investigations or reviews to address effectiveness, responsiveness, and/or accountability issues. In other cases, grant recipients may be subject to investigations or reviews to address compliance concerns, or other significant file issues.

- Participate in carrying out studies, investigations, and reviews of program effectiveness, compliance issues, problematic grants, or other grant program issues.
- Work directly with with production companies and other organizations receiving grant funding to address issues, make recommendations, and ensure compliance with grant conditions.

Prepare, submit, and track delinquent grant repayments related to ineligible grants, ensuring accurate documentation and timely submission to Treasury Board & Finance - Crown Debt Collections (TBF-CDC); monitor ongoing collection efforts and follow up as needed.

- Consult directly with TBF-CDC on outstanding and overdue grant repayments.
- Ensure policies, regulations and operational guidelines are adhered when reviewing all supporting documentation for delinquency recoveries and write-offs.

Assist with preparation of budget and forecast submissions for Cultural Industries branch.

- Reconciles and reports on grant accounts. This includes year-end reporting and reconciliation.
- Ensure the accuracy and integrity of program accounting data.
- Work directly with the individual branch units to help determine pressures and surplus information.
- Capture and report on spend-down and priorities

Other related responsibilities:

- As a team member recommend improvement processes and procedures
- Update business process documents regularly
- Perform other duties as assigned by the manager

Problem Solving

Typical problems solved:

The work of this position directly impacts the implementation of the AMF programs that provide provincial

funds to business applicants whom support Alberta's economic diversification priority. Effective compliance, quality assurance, and continuous improvement contributes to integrity in the use of financial resources to support program objectives. Each AMF grant program is distinct and has its own set of requirements.

Alberta Made for Production Grant has a high number of compliance reviews which can be complex and sensitive. The Compliance Officer plays an integral role in identifying, developing, and implementing best practices for compliance, quality assurance, auditing, continuous improvement, and fraud detection.

Types of guidance available for problem solving:

This position is required to be able to show independence and have a strong understanding of compliance and audit while following ASPE and GAAP accounting standards. The Compliance Officer has access to grant operational guidelines, legislation, and historical documents. The Compliance Officer works directly with the Manager and the Program Consultants.

The Compliance Officer also has a network of internal finance teams within ACSW to assist on questions related to financial related tasks.

Direct or indirect impacts of decisions:

This position directly impacts the AMF programs that provide provincial funds to stakeholders that support Alberta's economic diversification priority. Effective compliance, quality assurance, and continuous improvement contributes to integrity in the use of financial resources to ensure consistent and thorough practices are in place to support responses to political inquiries, legal cases, and Ombudsman complaints.

Judgment and discretion is exercised within the parameters of established legislation, regulations, policies, operational guidelines, and accounting standards. This position has latitude and independence to organize workload and manage the work volume to meet deadlines and commitments within established processing schedules.

Issues or decisions outside of established or specified policies, processes, guidelines and procedures are referred to the Manager as are issues without clear precedent and highly unusual or sensitive situations.

Communication in this position is very critical as auditing/compliance questions must be asked in a sensitive and professional manner. Stakeholders may require targeted training and guidance to address identified issues and support their efforts in achieving compliance.

The Compliance Officer is looked upon as an expert and know-how-in completing the required duties outlined for this position.

Key Relationships

Major stakeholders and purpose of interactions:

Manager, Alberta Media Fund and Financial Operations - provide updates and report statistics; identify process improvements; provide recommendations to support the Manager's responsibilities

Program Consultants - provide daily communication and guidance; guide issues resolution on specific applications; provide guidance in that supports compliance standards; complete review on high risk files and inform Manager

Internal CI Branch team members - collaborate, share information, provide expertise, and assist with providing required information for briefing notes and action requests

Ministry and ADM Finance Teams - as necessary to support branch budget, forecasting, and financial operations

AGLC - coordinate and communicate on file specific compliance audits; respond to queries; interpret

policy and clarify audit expectations

Corporate Internal Audit Services - coordinate and communicate on program processes and procedures, identify process improvements

External Stakeholders - follow up on compliance issues and assist grant recipients in meeting compliance requirements

Required Education, Experience and Technical Competencies

Education Level	Focus/Major	2nd Major/Minor if applicable	Designation
Bachelor's Degree (4 year)	Business		

If other, specify:

Working toward CPA designation is an asset

Job-specific experience, technical competencies, certification and/or training:

The Compliance officer requires a thorough understanding of:

- Alberta Media Fund operational guidelines
- Applicable Ministry and Government policies, business processes and information systems that pertain to the delivery of grant funding (i.e. GATE, 1GX).
- Applicable legislation including Financial Administration Act, Ministerial Grant Regulation
- Financial management, accounting, internal control principles, processes and mechanisms, including generally accepted accounting principles (GAAP), Public Sector Account Board (PSAB) standards.
- Compliance/audit processes, general office, and filing principles/practices
- Ability to research and analyze stakeholder final report submissions
- Ability to analyze, understand and prepare budgeting and forecasting program area submissions
- Major stakeholder partnerships including Treasury Board & Finance - Crown Debt Collections
- Software tools to carry out responsibilities (i.e. Microsoft Office, 1GX, GATE)

The Compliance Officer must have well developed and demonstrated:

- Excellent verbal and written communication skills, with the ability to convey complex information clearly and effectively
- Ability to pay close attention to detail, ensure a high level of accuracy
- Organizational and time management skills, including the ability to function effectively in an environment with multiple priorities and deadlines.
- Ability to effectively adapt to change, including changes to priorities and introduction of new processes and systems.
- Ability to work independently as well as contribute within a team environment to achieve unit goals and objectives.
- Commitment to confidentiality, tact and diplomacy.

The Compliance Officer must be able to:

- Proactively identify concerns and issues relating to assigned responsibilities
- Monitor and understand financial data from various sources
- Work independently as well as contribute in a team environment
- Demonstrate initiative, creativity and sound judgment

Behavioral Competencies

Pick 4-5 representative behavioral competencies and their level.

Competency	Level					Level Definition	Examples of how this level best represents the job
	A	B	C	D	E		

Agility	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<p>Works in a changing environment and takes initiative to change:</p> <ul style="list-style-type: none"> • Takes opportunities to improve work processes • Anticipates and adjusts behaviour to change • Remains optimistic, calm and composed in stressful situations • Seeks advice and support to change appropriately • Works creatively within guidelines 	The successful candidate will have the ability to anticipate, assess and readily adapt to changing situations and issues, while making well thought-out recommendations.
Systems Thinking	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<p>Considers inter-relationships and emerging trends to attain goals:</p> <ul style="list-style-type: none"> • Seeks insight on implications of different options • Analyzes long-term outcomes, focus on goals and values • Identifies unintended consequences 	You anticipate outcomes and potential impacts across interrelated areas and will factor this into compliance reviews, budget and forecasting.
Creative Problem Solving	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<p>Focuses on continuous improvement and increasing breadth of insight:</p> <ul style="list-style-type: none"> • Asks questions to understand a problem • Looks for new ways to improve results and activities • Explores different work methods and what made projects successful; shares learning • Collects breadth of data and perspectives to make choices 	Breaks down problems, undertakes appropriate research and investigation and draws on experiences to solve problems for the following but not limited to compliance issues, budget and forecasting, current processes, and operational guidelines.
Drive for Results	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	<p>Works to exceed goals and partner with others to achieve objectives:</p> <ul style="list-style-type: none"> • Plans based on past experience • Holds self and others responsible for results • Partners with groups to achieve outcomes • Aims to exceed expectations 	Sets and accomplishes goals and priorities in order to deliver outcomes consistent with program and branch direction, program objectives, and stakeholder expectation. Factors in the complexity of issues, and strategically aligns decisions and plans based

			program and organizational needs.
Develop Networks	<input type="radio"/> <input checked="" type="radio"/> <input type="radio"/> <input type="radio"/> <input type="radio"/>	Works on maintaining close relations with all stakeholders: <ul style="list-style-type: none">• Identifies key stakeholder relationships• Has contact with range of interested parties• Actively incorporates needs of a broader group• Influences others through communication techniques	Informs key stakeholders of relevant information in a timely manner. Is aware of own impact on others and the impression being made through interactions. Is professional and respectful in all interactions.

Benchmarks

List 1-2 potential comparable Government of Alberta: [Benchmark](#)

022FN12

Assign

The signatures below indicate that all parties have read and agree that the job description accurately reflects the work assigned and required in the organization.