

New

Ministry

Jobs, Economy and Trade

Describe: Basic Job Details

Position

Position ID

Position Name (200 character maximum)

Senior Compliance Officer

Requested Class

Program Services 5

Job Focus

Operations/Program

Supervisory Level

01 - Yes Supervisory

Agency (ministry) code

CA15

Cost Centre

Program Code: (enter if required)

Employee

Employee Name (or Vacant)

Vacant

Organizational Structure

Division, Branch/Unit

EDBS/Business Supports/Bus & Industry Supports

☒ Current organizational chart attached?

Supervisor's Position ID

Supervisor's Position Name (30 characters)

Manager, Operations

Supervisor's Current Class

Design: Identify Job Duties and Value

Job Purpose and Organizational Context

Why the job exists:

The Ministry of Jobs, Economy and Trade supports economic development, promotes trade and investment, attracts skilled workers and promotes safe, fair and healthy workplaces.

The Economic Development and Business Supports Division is focused on driving and operationalizing the department's economic development agenda through policies, strategies and programs that help to create jobs and diversify Alberta's economy. We do this by providing analysis and developing policy, delivering programs focused on quality and excellence in client service, and stakeholder engagement.

The Business and Industry Supports Unit, within the Business Supports Branch, designs and delivers impactful program supports to Alberta's job creators. These programs are crucial to the success of Alberta businesses as they encourage economic growth and promote the development of Alberta's small and medium sized primary and emerging sectors.

Reporting to the Manager, Operations, the Senior Compliance Officer will lead the Compliance team for the Business and Industry Supports Unit. The Senior Compliance Office will supervise and develop a team of compliance officers in

order to develop and operationalize policies and processes to minimize the risk associated with various grant and tax credit programs. This position is responsible for identifying and resolving risk associated with tax credit and grant programs through the process of reviewing and monitoring applicant submissions. These reviews influence maintaining the integrity of programs and enforcement of policies, processes, legislation, and procedures relating to compliance with tax credit and grant conditions identified in various agreements and related program guidelines. This position provides advisory services including information and advice to inform program and funding decisions and interacts with affected stakeholders, ensuring that program applicants are compliant with conditional tax credit and grant agreement guidelines.

Responsibilities

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

Policy/Operational Program Support:

- Conduct program monitoring, auditing and adjudications to ensure operational requirements are developed, delivered and continually enhanced and compliant with relevant legislation, regulations, policies and procedures, terms and conditions.
- Develop policies, processes, and procedures relating to compliance with tax credit and grant conditions that result in clear and understandable policies, processes and procedures that contribute to compliance with government accountability requirements and protection of program integrity.
- Evaluate compliance issues, identify the need for new policy or policy changes, and analyze the impact of a proposed new policy or policy changes on stakeholders.
- Address compliance issues with program applicants/funding recipients directly and/or provide advice to program delivery areas, as appropriate. Address compliance issues with sensitivity while upholding applicant accountability and program integrity, which involves effective conflict and relationship management.
- Develop and operationalize strategies to prevent and respond to fraud. Leverage technology to enhance fraud detection and prevention.
- Determine strategic approaches and recommendations for resolution of issues and developing solutions to address concerns and mitigate issues, that take into account governmental and departmental policies, federal-provincial-municipal relations, and administrative burdens and costs.
- Design or amend the compliance process and procedures to maximize the use of resources in following up on the reporting requirements for tax credit and grant recipients.
- Contribute as a subject matter expert to the ongoing development of and enhancements to legislation, regulations, policies and standards.
- Pro-actively identify potential risks to the programs, and work with program staff and compliance team to determine mitigations.
- Develop recommendations for new tax credit and grant programs through stakeholder consultation and research and analysis.

Program Administration:

- Lead audits on selected and random applicants to ensure or obtain compliance with conditional tax credit and grant requirements, including adherence to guidelines, legislation and regulations as applicable, and accurate, timely reporting on compliance requirements.
- Facilitate the review of reports, invoices and receipts to ensure proper compliance with budgets and grant agreements. Review all expenses and ensure that eligible expenses are claimed correctly.
- Lead the assessment of reports, processes, and procedures for various programs across the ministry to ensure compliance and supervise and ensure high-quality reviews completed by team members.
- Monitor economic conditions in the province and the unique situations affecting compliance of specific corporate, municipal, non-profit or individual recipients.
- Lead to manage an inventory and track all assigned conditional agreements, and monitor compliance with all the conditions.
- Lead to conduct investigations and reviews to address effectiveness, responsiveness, and/or accountability issues with problematic grants or other grant program issues.
- Coordinate general investigations with the Special Investigations Unit (SIU) within the Audit and Investigation Branch of Service Alberta.
- Lead as an expert technical support to program delivery areas as it relates to compliance processes, procedures and execution.

Leadership/Employee Development:

Provide strong leadership and promote and maintain a safe and respectful workplace culture by:

- Onboarding, developing, and facilitating knowledge transfer and capacity building in new and existing staff, including the development of training plans and materials.
- Conducting regular team and individual meetings with staff to ensure clear communication on relevant information and knowledge transfer on files, such as program performance targets, changing priorities, workplace updates, operational concerns, problematic files.
- Implementing, monitoring, and adjusting workflows as needed to optimize and achieve operational targets in alignment with the Unit mandate.
- Contributing to the development of performance agreements with staff.
- Guiding staff in the resolution of novel or complex issues, taking the lead for significant and complex issues.
- Act on behalf of the Manager as required.

Stakeholder Engagement:

- Lead to liaise with external auditors to provide a detailed understanding of GoA programs.
- Consult with municipalities, program staff and various government departments to assess the ease of adoption for a new policy or policy changes and the overall impact on the administration of conditional grants.
- Communicate directly with clients via telephone, correspondence, or meetings to validate compliance and obtain the required information to support compliance activities.
- Manage relationships with various applicants/organizations receiving tax credits or grant funding to address issues, consider suggestions, and ensure compliance.

Briefing Note Input:

- Lead to prepare briefing notes, letters, and other correspondence supporting program delivery for the Manager, Director, Executive Director, Assistant Deputy Minister's, or Deputy Minister's approval.
- Conduct background research and analysis (including financial modeling when appropriate) and develop briefing materials on proposed program changes or new tax credit and grant initiatives for review by senior management and the Minister.
- Develop briefing notes to respond to questions on tax credit and grant programs or individual applications for senior management, the Minister, MLAs or the Premier.

Problem Solving

Typical problems solved:

Challenge: Complex procedural and compliance related inquiries will be referred to this position.

Mitigation: work alongside program delivery staff to resolve and in some cases work with management for resolution.

Challenge: This position receives a large volume of questions from applicants and suggestions for changes to programs.

Mitigation: Analyze program uptake, program impacts, the potential benefits of new options or initiatives, compliance concerns, or other significant program issues.

Challenge: Overall team is not meeting target timelines and there is a wide discrepancy between team members in quality and quantity of work.

Mitigation: Develop strategy to address the team performance concerns in partnership with management.

Challenge: Applicants submit a large number of ineligible expenses as part of their grant program submissions.

Mitigation: Clear understanding of the guidelines within each grant/tax credit program, and be able to tactfully communicate with applicants so they understand what is actually an eligible expense within the program guidelines.

Challenge: There is disagreement amongst staff members about the workings of a specific process.

Mitigation: This position will have to determine the process going forward based on experience and knowledge of the applicable processes.

Types of guidance available for problem solving:

This position reports to the Manager, Operations, and will receive guidance as required. It is expected that the Senior Compliance Officer will be the subject matter expert related to compliance and will take initiative to identify issues and explore and recommend potential solutions to challenges.

- Typical venues for guidance from documentation: the FTTC Act and Regulation, related program guidelines, internal policies, procedures and processes, and data collection.
- Typical venues for client management: Outlook, ARTS, and client relationship management (CRM) system.

Direct or indirect impacts of decisions:

This position has a direct impact on the:

- Clarity and accuracy of policies, processes, and procedures that contribute to compliance with government accountability requirements and program integrity/reputation.
- Timely and accurate reporting on compliance requirements.
- The operations of the team, how they are supported on a day-to-day basis, what processes they follow, etc.
- Working relationships between the province and stakeholders.
- Identification and resolution of compliance related issues to protect programs from abuse and/or fraud.

Key Relationships

Major stakeholders and purpose of interactions:

Compliance Officers - provide leadership and guidance to compliance officers for compliance processes and additional investigations to align with accountability requirements.

Program Director- provide information, expertise, strategic methodologies and research in their recommendations for program processes to align with compliance and accountability requirements

Program Manager - provide advice and recommendations for program elements, and analysis to support program approval recommendations; discuss issues; raise awareness of complex cases

Program Advisors - first line of liaison with applicants during the application and approval process; explain and interpret program, policy and process.

Program applicants and potential applicants - may be required to interpret program policy for complex or ambiguous issues. Applicants include municipality representatives as well as business owners.

Experts in other ministries - consult to determine eligibility and approval for the more ambiguous cases; explain and interpret program policy and process; encourage innovation and develop partnerships and working groups.

Required Education, Experience and Technical Competencies

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

If other, specify:

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

The incumbent must utilize analytical thinking and problem solving skills, including the ability to analyze information and develop solutions and recommendations to resolve identified issues.

Strategic and comprehensive communication knowledge is required to ensure interpersonal, consultation and relationship management skills, including an ability to build and maintain collaborative working relationships with service providers, stakeholders, and Ministry and Government representatives are developed.

Mediation, negotiation and conflict resolution skills, including the ability to promote innovation: build consensus among stakeholders with varying perspectives and priorities while motivating others to accept and adopt new concepts.

Experience in interpreting legislation and regulations is required.

An accounting designation is an asset.

Experience with accountability frameworks, tax credit or grant program development or delivery is an asset.

Experience in conducting audits, financial investigations/forensic accounting, and setting policy is an asset.

Experience supervising staff is an asset.

Experience in research and analysis is an asset.

Behavioral Competencies

Pick 4-5 representative behavioral competencies and their level.

Competency	<div> <div>Level</div> <div>A B C D E</div> </div>	Level Definition	Examples of how this level best represents the job
Systems Thinking	<div> <div>○ ○ ○ ● ○</div> </div>	<div> <div>Integrates broader context into planning:</div> <ul style="list-style-type: none"> Plans for how current situation is affected by broader trends Integrates issues, political environment and risks when considering possible actions Supports organization vision and goals through strategy Addresses behaviours that challenge progress </div>	<div> <div>This position plays a critical role in all tax credit and grant program activities. This role is expected to suggest ways to improve policies, processes and procedures.</div> <div>Can translate high level objectives into tangible action.</div> </div>
Agility	<div> <div>○ ○ ● ○ ○</div> </div>	<div> <div>Identifies and manages required change and the associated risks:</div> <ul style="list-style-type: none"> Identifies alternative approaches and supports others to do the same Proactively explains impact of changes Anticipates and mitigates emotions of others Anticipates obstacles and stays focused on goals Makes decisions and takes action in uncertain situations and creates a backup plan </div>	<div> <div>This position must be willing to think critically and adapt policies, processes and procedures to reflect compliance at any given time.</div> <div>Champions change management in the compliance process, supports others to work towards a common goal.</div> </div>
Drive for Results	<div> <div>○ ○ ● ○ ○</div> </div>	<div> <div>Takes and delegates responsibility for outcomes:</div> <ul style="list-style-type: none"> Uses variety of resources to monitor own performance standards Acknowledges even indirect responsibility Commits to what is good for Albertans even if not immediately accepted Reaches goals </div>	<div> <div>This role must eliminate barriers and identify solutions to ensure results are achieved for all stakeholders and clients.</div> <div>Is able to think strategically about processes, collaborates with program area to implement change.</div> </div>

		consistent with APS direction	
Creative Problem Solving	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<p>Works in open teams to share ideas and process issues:</p> <ul style="list-style-type: none"> • Uses wide range of techniques to break down problems • Allows others to think creatively and voice ideas • Brings the right people together to solve issues • Identifies new solutions for the organization 	<p>The incumbent is required to gather information from varied sources, analyze, and interpret information to inform decisions and program policy. The incumbent is expected to solve issues as they come up and develop new processes and procedures as required.</p>
Develop Self and Others	<input type="radio"/> <input type="radio"/> <input type="radio"/> <input checked="" type="radio"/> <input type="radio"/>	<p>Encourages development and integration of emerging methods:</p> <ul style="list-style-type: none"> • Shapes group learning for team development • Employs emerging methods towards goals • Creates a shared learning environment • Works with individuals to develop personal development plans 	<p>This position will lead the Compliance team. Developing team members will be an essential part of the success of the work completed.</p> <p>Able to lead team of professionals, resolve conflict, and help individuals improve upon themselves, by supporting them in ways they need.</p> <p>Is able to demonstrate leadership towards a team and be an example for others.</p>

Benchmarks

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

Benchmark Evaluation - 025PS53 (Senior Policy Advisor)
 Benchmark Evaluation - 025PS52 (Senior Claims Advisor)