

Public (when completed)

Common Government

Ministry

Transportation and Economic Corridors

Describe: Basic Job Details**Position**

Position ID

Position Name (30 characters)

Compliance Officer

Current Class

Requested Class

Program Services 3

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

Traffic Safety Services, Monitoring and Compliance

☐ Current organizational chart attached?

Supervisor's Position ID

Supervisor's Position Name (30 characters)

Supervisor's Current Class

Design: Identify Job Duties and Value**Changes Since Last Reviewed**

Date yyyy-mm-dd

2024-05-15

Responsibilities Added:

- The position has gained depth and independence in monitoring, auditing, and inspection activities, specifically the expectation to complete more comprehensive monitorings and audits, and in addition conducting inspections, throughout the driver training and testing system. This entails added responsibility and independence in the identification of non-compliance, and the issuing and documentation of reeducation requirements, and progressive disciplinary actions, as well as requirements in relation to administrative or court proceedings.
- The position has gained program development responsibilities. The position supports the strategic development and planning required to build, maintain, and enhance a compliance program. The position is key in creating a continuous improvement environment.
- Enforcement and investigation responsibilities and capabilities have been added and emphasized upon, including the potential requirement to obtain a peace officer designation.

Responsibilities Removed:

- Requirements related to licensing and training of the driver training and testing industry have shifted to a supporting role.

Job Purpose and Organizational Context

Why the job exists:

This position is responsible for planning and conducting a suite of compliance inspections to uphold the integrity of the driver training and testing system with the intent of enhancing traffic safety in Alberta. Inspections include on-site monitoring of driver examiners and driving instructors to provide quality assurance for their actions, and auditing driver training schools to ensure multiple elements of their operations comply with requirements (e.g., records managements, classrooms, yards). The Compliance Officer also completes inspection in response to ad hoc complaints or situations flagged through ongoing risk assessments. Based on inspection results, remedial and potential disciplinary actions are identified and communicated; significant disciplinary actions are recommended for management approval.

The Compliance Officer also conducts quality assurance on auditing work completed by third-party auditors. Advice is provided to multiple stakeholders regarding compliance and monitoring requirements and interpretation of related policy and legislation. Subject-matter-expertise is provided to the development and implementation of an effective program compliance accountability framework as well as inspection strategies, processes and schedules.

Responsibilities

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

Job outcome 1: The Compliance Officer completes a suite of inspections in a timely, consistent, thorough, and unbiased manner, in compliance with appropriate legislation and policy.

Activities:

- Complete inspections on driver training schools, driving instructors, and driver examiners throughout the province, such as during road tests, classroom theory, and practical in-vehicle lessons, to ensure compliance to legislation, policies and guidelines.
- Research related legislation (e.g., Criminal Code (Canada), Traffic Safety Act, Driver Training and Driver Examination Regulation) to support and inform inspections.
- Independently identify and address non-compliance and unlawful conduct through the issuance of directives, such as recommendations and issuance of re-education requirements and disciplinary action with the use of legislation and policy.
- Identify and communicate deficiencies along with recommendations for improvement, create and maintain a climate that encourages continuous improvement.
- Oversee the work of third party auditors, as directed, including conducting shadow audits and monitorings.
- Develop materials to support the review of Registrar Reconsideration files by ministry leadership. May be required to review Registrar Reconsideration files.
- Attend and support court proceedings, Crown prosecutors, Registrar Reconsiderations, and other review processes.
- Provide support to the laying of charges, sending out disciplinary letters, retesting Albertans (e.g., road test, knowledge test) as outlined in department policy.
- Contribute to the development of a compliance strategy, risks assessments and and inspection schedules.

Job outcome 2: The Compliance Officer manages records effectively. Information provided to stakeholders, ministry leadership is professional and accurate, and supports key performance indicators and other data purposes.

Activities:

- Create and maintain physical and electronic files for driver training schools, driving instructors, and driver examiners.
- Issue, develop and recommend actions regarding driver training schools, driving instructors, and driver examiners to improve compliance rates in the driver training and testing system.
- Track and issue government audited inventory and other supplies to stakeholders.
- Maintain relevant inspection content in databases, such as TSIS, ITI, and MOVES/ROADS, and contribute to statistical data and reports on program delivery.

- Respond to inquiries from licensees and the public.
- Respond to Albertans and industry on driver training and testing-related inquiries, and acts as a subject-matter expert to support the handling of action requests, and correspondence.
- Write reports and respond to ministerial action requests, as required.
- Prepares documentation, appear as a witness, or assists in the preparation of administrative hearings.

Job outcome 3: The Compliance Officer contributes to a continuous improvement environment, striving for modernized governance and systems that align with ministry business plan goals.

Activities:

- Inform the development, maintenance, and enhancement of strategies, policy, systems, procedures, processes, and programs related to the oversight of the driver training and testing system through the identification and communication of program gaps, and recommendations to address those gaps.
- Provide subject-matter expertise to support the development of changes to governance and systems, such as legislation, policy, procedural manuals, processes, driver training courses, improvement programs and courses, template letters, and IT systems.
- Actively contributes to team projects, special projects and other duties to support program improvements.
- Raise awareness to emerging issues of significance and participate in their resolution.
- Completes risk assessments to proactively identify inspection priorities.

Job outcome 4: The Compliance Officer is a subject-matter expert by providing advisory services, in alignment with the mandate and goals of the department.

Activities:

- Supports other areas in the ministry through activities, such as the training and testing of drivers, the licensing and training of driver training school, driving instructors, and driver examiners, the dissemination of information and education, program development and implementation, and the completion of other duties as required.
- Mitigate public grievances against stakeholders, complete reviews, and support the investigation and complaint resolution.
- Train new and existing staff members when knowledge gaps have been identified to allow them to appropriately complete their jobs.
- Work together with peers to continuously improve approaches to conducting job duties, and identifies process improvements for leadership where appropriate.
- Collaborate with other government staff members to ensure collaboration and integration of functions.
- Support the development of training and training plans for staff.

Problem Solving

Typical problems solved:

- The Compliance Officer must identify whether a stakeholder has met their due diligence and other regulatory requirements. This involves evaluating a large number of actions that the stakeholder has taken and make an evaluation as to whether important steps were omitted or completed improperly.
- Inspections can emotionally charged since the consequences of non-compliance could jeopardize an instructor's, trainer's or training school's ability to continue to operate. Interpersonal situations must be analyzed and effective conflict resolution strategies employed to ensure the personal safety of all parties involved in all aspects of the compliance evaluation process. Compliance Officers are challenged to determine how best to influence the behaviour of instructors and trainers to comply with licensing and training program requirements.
- Incumbents are challenged to work with stakeholders to ensure compliance with legislation and policy, even though this may be in contrary to their operational desires. A high degree of diplomacy and tact is essential.
- Compliance Officers must use analytical and problem-solving skills in order to make reasonable decisions

in areas where policy is not fully developed or, in unusual circumstances, outside of policy.

- Determine appropriate corrective action or sanctions in accordance with legislation and within the departments policy.

Types of guidance available for problem solving:

This position uses established legislation, regulations, policies, plans, and guidelines, with significant discretion in determining how responsibilities are performed. Professional knowledge, consultation with peers, and experience also contribute to problem-solving. Multiple inputs and perspectives must be integrated and assessed using sound judgement and analytical skills to determine the best approach for problem-solving. This position's supervisor provides general guidance, reviewing work for quality of leadership provided, recommendations and conclusions developed, stakeholder consultation and policy development activities, and level of professional judgment demonstrated. The timeliness and comprehensiveness of services provided is evaluated, as is the effectiveness or working relationships established with staff, clients, stakeholders, and partners.

Direct or indirect impacts of decisions:

- This position directly impacts the compliance of the driver training and testing industry to provincial legislation, policy and standards. The Compliance Officer's decision could impact the livelihood of driver training school owners, instructors, and examiners. As the primary interface with stakeholders for compliance inspections, this position impacts the implementation of new or changed compliance and monitoring strategies (e.g., explains new process, responds to questions).

- The work of this position also has a significant and direct impact on traffic safety and public confidence.

- Provision of subject-matter-expertise impacts the development and evolution of compliance and accountability frameworks, policy and process.

- The Compliance Officer independently determines priorities and areas of focus, exercising judgment when coordinating and carrying out program development accountabilities; developing recommendations and proposals for complex issues and initiatives; and prioritizing responsibilities to meet deadlines. Matters with potential for significant impact on business operations, resource allocation, or the driver examination model are discussed with the manager and supervisor, as are sensitive issues or situations involving stakeholders and partners. The manager and supervisor also review major briefings and recommendations prior to submission to senior leadership to ensure assumptions are valid and ministry goals are reflected appropriately.

Key Relationships

Major stakeholders and purpose of interactions:

Internal

- Team - collaborate, provide back-up and share information, mentor new staff
- Team Lead and Manager - provide advice and research and develop reports or responses as needed; raise awareness to emerging issues of significance; provide input into team planning; participate in scheduling inspections
- Other division units - provide subject-matter expertise on topics related to inspections and compliance; collaborate on common/related initiatives; work with Investigators to support complaint and investigation handling
- Cross Ministry working groups - provide subject matter expertise and advise on compliance topics; collaborate on common/related initiatives.
- Representatives of the ministry, other departments - exchange information; resolve issues; represent branch and ministry interests; and coordinate activities in relation to program development.

External

- Driver training and testing stakeholders - complete inspections, provide feedback on their performance, identify remedial action to maintain expected compliance to program requirements, and to provide information regarding driver training and testing.
- Public - provide information regarding driver training and testing oversight.
- Other governments - exchange information related to specific requests; provide Alberta's program information.

Required Education, Experience and Technical Competencies

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

If other, specify:

Public administration, accountancy, economics, criminology, criminal justice, social sciences, etc.

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

Education and Experience

- Bachelor's degree in related field such as public administration, accountancy, economics, criminology, criminal justice, social sciences, etc.

Technical Competencies, certification and/or training

- University degree in a related field (public administration, accountancy, economics, criminology, criminal justice, social sciences, etc.) or equivalencies and a minimum of two years experience in the driver training and testing system, or experience with monitoring, auditing, and investigating. Equivalents will be considered on the basis of 1 year of education for 1 year of experience; or 1 year of experience for 1 year of education.
- As the position may require a peace officer designation, the Compliance Officer must at least be eligible to be appointed as a Peace Officer under the *Peace Officer Act*.
- Hold a commercial licence, a driver examiner licence, or driving instructor licence is considered an asset.
- Hold a Class 1-6S driver's licence, a driver examiner licence, and a driving instructor licence, thus new hires must be at least eligible to hold these licences.
- Required to travel extensively within the province of Alberta to complete inspections.
- Working knowledge of all department traffic safety legislation, investigation techniques and a working knowledge of the variety of enforcement tools applicable in an administrative and regulatory environment.
- Knowledge of other related provincial and federal statutes that affect investigations in the driver training and testing system, such as the Charter of Rights and Freedoms, the Criminal Code, the Traffic Safety Act, the Driver Training and Driver Examination Regulation, and the Provincial Offences Procedure Act.
- Basic knowledge of accounting, auditing, and inspection principles.
- Effective listening skills and ability to provide appropriate verbal, non-verbal and written communications, adaptability to change, problem solving and judgment to assess options and implications in order to identify a solution appropriate to workload requirement. Conflict resolution, tact and organizational skills are required to attend to the sensitivity and diversity of issues addressed by this position.
- Highly developed written and verbal communication skills, including the ability to develop and deliver recommendations to management, and deal effectively with a broad range of stakeholders.
- Relationship development skills to develop and maintain collaborative working relationships with stakeholders
- Demonstrated initiative, professional judgement and flexibility when representing the monitoring and compliance program committees and working groups.
- Highly developed organizational and time management skills, including the ability to manage multiple responsibilities within a dynamic environment with heavy caseloads
- Commitment to client services by confidentiality, discretion, tact, continuous improvement, and innovation.
- Strong analytical and problem-solving skills to make reasonable decisions in areas where policy is not fully developed or, in unusual circumstances, outside of policy.

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		

Systems Thinking	○ ● ○ ○ ○	<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 	<ul style="list-style-type: none"> • Works towards and supports consistent decision making throughout the team, and understands the impact of their decision making on the overall driver training and testing system. • Provides subject-matter expertise to support comprehensive program development, such as strategically integrated changes to legislation, policy, processes, and IT.
Creative Problem Solving	○ ● ○ ○ ○	<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 	<ul style="list-style-type: none"> • Utilizes creative problem solving techniques to determine appropriate oversight actions where legislation and policy do not provide clarity. • Finds creative solutions to encourage stakeholders to improve performance. • Identifies ways to improve the overall driver training and testing system.
Agility	○ ○ ● ○ ○	<p>Identifies and manages required change and the associated risks:</p> <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 	<ul style="list-style-type: none"> • Is able to anticipate stakeholders' emotions, and mitigate them ahead of time. Is successful in de-escalating client conflict. • Works to improve the system where gaps arise, works with leadership to enhance processes. • Balances consistent standards to be applied with the diversity that exists across the province. • Accepts stakeholder feedback and develops acceptable solutions and processes • Reviews, revises, and continually enhances standards.

Drive for Results	○ ○ ● ○ ○	<p>Takes and delegates responsibility for outcomes:</p> <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 consistent with APS direction 	<ul style="list-style-type: none"> • Works to improve their own performance, and the performance of stakeholders. • Takes initiative to increase the quality and quantity of monitoring, auditing and inspection activities. • Supports the development and collection of key performance indicators.
Develop Networks	○ ○ ● ○ ○	<p>Leverages relationships to build input and perspective:</p> <ul style="list-style-type: none"> • Looks broadly to engage stakeholders • Open to perspectives towards long-term goals • Actively seeks input into change initiatives • Maintains stakeholder relationships 	<ul style="list-style-type: none"> • Collaborates with internal and external stakeholders across the province to improve the overall driver training and testing system. • Develops and delivers recommendations to management and deals effectively with a broad range of stakeholders.
Build Collaborative Environments	○ ○ ● ○ ○	<p>Collaborates across functional areas and proactively addresses conflict:</p> <ul style="list-style-type: none"> • Encourages broad thinking on projects, and works to eliminate barriers to progress • Facilitates communication and collaboration • Anticipates and reduces conflict at the outset • Credits others and gets talent recognized • Promotes collaboration and commitment 	<ul style="list-style-type: none"> • Builds trust and rapport with external stakeholders to effectively support their ability to follow legislation and policy, and optimize their performance. • Works together with internal and external stakeholders to build a comprehensive system in support of driver training and testing oversight.
Develop Self and Others	○ ○ ● ○ ○	<p>Plans according to career goals and regular development:</p> <ul style="list-style-type: none"> • Aligns personal goals with career goals • Leverages strengths; attempts stretch goals • Provides feedback and openly discusses team performance • Values team diversity, and supports personal 	<ul style="list-style-type: none"> • Exemplifies leadership towards stakeholders through the development of themselves, and staying on top of best industry practices. • Works with a diverse group of stakeholders to continuously improve their performance. • Supports peer-to-peer training of staff within

		development	and outside of the team to ensure quality oversight of the driver training and testing industry.
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Benchmarks

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

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.