

New

Ministry

Municipal Affairs

Describe: Basic Job Details

Position

Position ID

Position Name (200 character maximum)

Manager, Compliance

Requested Class

Manager (Zone 2)

Job Focus

Operations/Program

Supervisory Level

01 - Yes Supervisory

Agency (ministry) code

Cost Centre

Program Code: (enter if required)

Employee

Employee Name (or Vacant)

Vacant

Organizational Structure

Division, Branch/Unit

TCS/WCP/Compliance & Assurance - RPP

☒ Current organizational chart attached?

Supervisor's Position ID

Supervisor's Position Name (30 characters)

Director, Compliance&Assurance

Supervisor's Current Class

Senior Manager (Zone 2)

Design: Identify Job Duties and Value

Job Purpose and Organizational Context

Why the job exists:

The Technical and Corporate Services Division administers a framework of safety codes and standards, supports Alberta's fire services, and oversees the mandatory new home warranty framework.

The Manager, Compliance is a key position within the Residential Protection Program (RPP). The position is responsible for the management of compliance process and enforcement activities as it relates to the administration of the *New Home Buyer Protection Act* and associated regulations.

This position provides leadership and direction to a team of compliance officers, who are responsible for complaint investigation, compliance monitoring, and enforcement actions as informed by legislation and program practices.

As part of the Compliance & Assurance leadership team, the Manager provides input into the development of program goals, operational planning, strategic goals, and allocation of resources. This position is key in linking the department's mission, vision, and objectives to the delivery of enforcement actions.

The Manager promotes a team environment and is accountable for implementing effective human resource practices. The incumbent builds relationships with other government departments and clients to facilitate understanding and compliance with legislation.

The incumbent makes decisions on issues or situations not addressed by established policy or procedure, responds to issues within a frequently emotionally charged and politically sensitive environment, and must exercise discretion and sound judgment in choosing an approach to resolve and manager these issues effectively.

The manager must ensure activities, decisions, and tasks are aligned with legislation, policy, procedure, best practice and the principals of administrative fairness.

Responsibilities

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

1. Oversees Compliance Operations in the Residential Protection Program

- Ensures appropriate training of compliance staff in alignment with legislation, policy, procedures, best practices, and legal principles.
- Establishes work priorities and determines the appropriate resources for compliance files.
- Assigns work, both compliance files and special projects, to team members and monitors progress.
- Ensures and maintains compliance program quality by overseeing investigative activities, reviewing compliance recommendations, and obtaining senior management approval on recommendations where required.
- Addresses complex compliance files by providing direction and guidance to staff and clients.
- Working with RPP management, ensures timely response to client and stakeholder inquiries, both internal and external, through Action Request responses, formal and informal meetings, and other mechanisms.

2. Continuous Improvement

- Works with the other managers in RPP to identify areas of improvement.
- Supports the Manager, Program Strategy in updating and/or developing program policy and procedures.
- Develops compliance officer training in partnership with legal services and other appropriate stakeholders.
- Ensures staff receive training on new policy and processes.
- Reviews and evaluates outcomes and implements continuous improvements to compliance framework policy and processes.

3. Team Leadership and Development

- Demonstrates effective leadership and cultivates a positive work environment.
- Ensure team members receive necessary training and professional development to competently complete all job duties.
- Provides mentoring/coaching to staff in investigative techniques and best practices in regulatory compliance and provide ongoing feedback to improve performance and skill level.
 - Guides staff in the resolution of novel or complex issues, taking the lead for significant and complex issues.
- Promotes and provides recognition for positive performance of team members, through formal and informal mechanisms.
- Conducts regular team meetings to discuss workplace updates and operational issues. Regularly meets with team members to discuss work load, timelines, expectations, as well as employee performance and professional development planning.
- In collaboration with PSC, identifies and implements appropriate recruitment strategies for vacancies and labour relations strategies to address issues, as required.
- Develops unit operational plans and ensures connection to ministry priorities.

4. Stakeholder and Client Relationship Management

- Communicates compliance decisions to relevant stakeholders.
- Addresses concerns regarding compliance processes, decisions, and outcomes for internal and external stakeholders/clients.
- Builds connections with other Ministries and agencies to share information and improve the RPP compliance program.
- Communicates information on issues to leadership and laterally to peers.

5. Support is provided to the Director to facilitate achievement of branch goals.

- Assists in the development of branch strategic planning, operational planning, budgeting, forecasting, and reporting of actual expenditures.
- Provides input to various time sensitive requests.
- Serves as the Director in an acting capacity as needed to cover absences.
- Raises awareness of emerging issues and program risks, and coordinates the identification and recommendation of solutions and mitigation strategies.

Problem Solving

Typical problems solved:

This position is responsible for addressing complex compliance issues and making recommendations to the Registrar on licensing and other compliance actions.

This position interacts directly with internal and external stakeholders and is responsible for communicating compliance decisions, responding to stakeholder inquiries/issues, and helping homeowners to navigate the new home warranty system.

This position leads the compliance team and will need to address various human resources, corporate, financial, and leadership tasks and issues.

Types of guidance available for problem solving:

This role acts with minimal supervision, but support for problem solving is available from other RPP managers, the Director, and Executive Director/Registrar.

Direct or indirect impacts of decisions:

Decisions made impact the program, as well as external stakeholders such as warranty providers, builders, and home owners.

Decisions must be made within the boundaries of the NHBPA and consider administrative fairness.

Compliance officers have statutory authority to complete investigations such as the ability to require submission of documents, records, and/or proof, interview people, and enter and examine premises.

Compliance officers also have the authority to issue compliance orders. A person to whom a compliance order is issued may request that the Registrar review the compliance order.

Key Relationships

Major stakeholders and purpose of interactions:

Internal

- Deputy Minister's office (as needed): Provide briefing materials, advice, respond to clarifying questions, validation of policy direction.

- ADM, TCS division (as needed): Provide information to support key divisional decisions and direction.

- Executive Director (Registrar), WCP (weekly): Provide recommendations on certain licensing and compliance actions; provide subject matter expertise; discussion on Action Request and stakeholder inquiry responses; contribute to branch planning.

- Director, C&A (daily): Provide subject matter expertise and program advice; provide recommendations for long-term program evolutions and improvements; contribute to unit and branch planning.

- Manager, Program Operations (Daily): Collaborate to integrate operations data to inform broader program evolution.

- Manager, Program Strategy (Daily): Collaborate to inform and implement continuous improvement, process, and policy changes.

- Compliance Officer staff (daily): manage team operations.
 - Divisional management team (monthly): Provide information on RPP (new home warranty and builder licencing) ensure open communication and information sharing across the division.
 - Other divisional staff (as needed): Provide information or collaborate on joint projects (e.g. compliance data).
- External
- stakeholders including but not limited to homeowners/buyers, warranty providers, builders, developers, municipalities/permit issuers, and real estate organizations (weekly or as needed): Program consultation and validation, education or communication on compliance and enforcement actions, responding to queries, developing effective working partnerships.

Required Education, Experience and Technical Competencies

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

If other, specify:

University graduation in a related field such as business, social sciences.

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

Related experience or education may be considered as an equivalency on a one for one basis.

At least 3 years related management experience, preferably within a regulatory compliance or enforcement capacity.

Knowledge of the New Home Buyer Protection Act and its regulations.

Knowledge of adjacent legislation such as the Safety Codes Act, Financial Administration Act, Access to Information Act, Protection of Privacy Act.

Knowledge of the residential home building industry, insurance industry, and/or consumer protection.

Understanding of the principles and application of administrative fairness.

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	☐	☐	☒	☐	☐	Takes a long-term view towards organization’s objectives and how to achieve them: • Takes holistic long-term view of challenges and opportunities • Anticipates outcomes and potential impacts, seeks stakeholder perspectives • Works towards actions and plans aligned with APS values • Works with others to identify areas for collaboration	- Maintains effective working relationships with stakeholders (municipalities, builders, developers, warranty providers, insurance companies, real estate organizations, consumer organizations, lending institutions, other government departments) to maintain awareness of needs and emerging issues, and address broad program compliance issues. - Seeks out other compliance/enforcement programs to promote best practices and knowledge sharing. -Informs frameworks for the program to ensure

			consistent application of compliance tools
Creative Problem Solving	○ ○ ○ ● ○	Works in open teams to share ideas and process issues: • 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	- Resolves complex compliance issues within a team environment with various systems at play. (Operations, Program Strategy, Compliance). -Seeks time sensitive advice from appropriate staff and stakeholders, bringing people together quickly and efficiently. -Empowers compliance officers to make decisions based on established processes, as well as to make recommendations where there isn't previous precedent or established process. - Provides advice to support Registrar decision making in the absence of established process or precedent.
Agility	○ ○ ● ○ ○	Identifies and manages required change and the associated risks: • 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	-Oversees multiple, complex compliance issues, while also considering continuous improvement efforts. -Assesses risks and mitigation proactively to determine best course of action in a timely manner. -Briefs Director, ED, and/ or other senior officials on compliance actions and case files, as needed. -Manages change among team members to ensure decisions are rendered in a timely manner and details mitigations to anticipated issues.
Drive for Results	○ ○ ● ○ ○	Takes and delegates responsibility for outcomes: • Uses variety of resources to monitor own performance standards • Acknowledges even indirect responsibility • Commits to what is	- Develop and deliver on operational plans for the team. - Delegates work to team, but also takes responsibility for work of the team. -Ensures compliance officer decisions are

		good for Albertans even if not immediately accepted • Reaches goals consistent with APS direction	made in accordance with administrative fairness principles, established process and precedent where appropriate. -Motivated to make improvements and fill gaps as experienced. -Takes accountability for timeliness and efficiency of processes.
Build Collaborative Environments	☐ ☐ ☐ ☒ ☐	Involves a wide group of stakeholders when working on outcomes: • Involves stakeholders and shares resources • Positively resolves conflict through coaching and facilitated discussion • Uses enthusiasm to motivate and guide others • Acknowledges and works with diverse perspectives for achieving outcomes	- Leads a team of people with varied expertise and experience, encouraging all perspectives to be considered. - Ensures adequate training of new team members and encourages professional development for existing team members. -Uses best practices to resolve conflict through coaching and discussion. -Proactively engages with other compliance program managers across the GOA to share best practices and resources. -Encourages team members to work collaboratively. -Models the way for enthusiasm, accountability, and motivation.
Develop Self and Others	☐ ☐ ☒ ☐ ☐	Plans according to career goals and regular development: • Aligns personal goals with career goals • Leverages strengths; attempts stretch goals • Provides feedback and openly discusses team performance • Values team diversity, and supports personal development	- Leads a team; ensures staff have learning and development plans in place. -Develops compliance officers and ensures training is provided in collaboration with Legal Services and other relevant partners. - Identifies own areas where additional professional development or growth is required, including staying informed on compliance best practices and reaching out to other