

Ministry

Transportation and Economic Corridors

Describe: Basic Job Details

Position

Position ID

Position Name (30 characters)

Compliance Coordinator

Current Class

Requested Class

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

TSS Division, Monitoring & Compliance / 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

Responsibilities Added:

As a result of a recent Traffic Safety Services Division functional and organization review, the position's focus has shifted. Administration of the Third-Party Audit Program has been added, which includes monitoring and auditing Third Party Auditors.

Responsibilities Added:

- Participating in the development and the delivery of training to internal staff and the Third Party Auditors.
- Monitoring and auditing of the Third-Party Auditor Program, including administering quality assurance.
- Supporting and monitoring the administration of random third-party audits assigned by Transportation and Economic Corridors (TEC).
- Authority to action administrative penalties to support TEC's enhanced accountability framework.
- Conduct research into carrier's compliance history and create summary packages for the Manager as a result of a Registrar Reconsideration Program application.

- Program Information and Responses to Inquiries
 - Evaluate requests from clients regarding possible inaccurate information loaded to a commercial drivers abstract (CDA) and complete adjustments, as necessary. Consult with other areas as required.
- Excellent rating program
 - Participate at subject matter experts in the development of an Excellent rating program.
 - Process application submissions, review documents for quality assurance and compliance to program requirements.
 - Participate in the development and maintain the procedures manual.
 - Review and assess carrier eligibility to determine new and on-going participation in the program.
 - Monitor those carriers with an Excellent rating monthly, to ensure continued compliance and either action or recommend actions to maintain compliance to program requirements.

Responsibilities Removed:

As a result of a recent Traffic Safety Services Division functional and organizational review, the following administrative functions have been removed:

- receiving, reviewing, following-up, and issuing of hours-of-service Inspector Designations.
- supporting Investigations (PSI/VSI) Vehicle Safety, Dangerous Good and Rail areas related to sending out correspondence relating to investigation actions, tracking and follow-up for administrative penalties issued including independently completing disciplinary actions for non-payment. Compliance will still track payment(s) of all Administrative Penalties (AP); Branch Admin to send off non-payment of AP's to collections after the due date has passed.

Job Purpose and Organizational Context

Why the job exists:

The Compliance Section monitors carriers by reviewing carrier profiles, applying risk factor monitoring, conducting collision reviews for carriers, issuing administrative penalties and conditions, receiving fine payments and auditing and monitoring the Third-Party Auditor program.

The Carrier Compliance Program (Program) monitors federal National Safety Code (NSC) standards and provincial requirements to be eligible to be a carrier and/or have a fleet that can operate in Alberta. The Program contains the Carrier Profiles of approximately 20,000 carriers and the safety ratings for each carrier. Carriers must maintain a specific safety rating in Alberta and comply with industry requirements or risk penalties for non-compliance. The Program contains multiple elements including the Collision Review Program, which reviews applications and potentially removes collision points from a Carrier's Profile; and the Third Party Auditor [TPA] Program, contracted individuals who conduct commercial carrier safety fitness audits under the federal *Motor Vehicle Transport Act* and *Alberta's Traffic Safety Act* on behalf of the Government of Alberta.

The Compliance Coordinator administers the Program using multiple systems and in communication with internal and external stakeholders. The Compliance Coordinator recommends and takes appropriate action when non-compliance is identified, in accordance with the department's policies and procedures. This could include but is not limited to issuing administrative penalties, applying terms or conditions to a carrier's Safety Fitness Certificate, changing a carrier's safety rating or suspending a Safety Fitness Certificate. The Compliance Coordinator is the primary point of contact for Albertans seeking information about and related to commercial transportation and provides data and recommendations for policy and process improvements. Additionally, the Compliance Coordinator audits the Third Party Auditors for contractual compliance and applies appropriate action if required.

Responsibilities

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

1. Compliance Program Administration

- Complete Program data input, verification, and updates in multiple systems many of which are inter-connected.
- Assess and process incoming documents (e.g., collision reviews to determine if an adjustment of demerit points is warranted) and take appropriate action (e.g., remove demerit points).
- Evaluate requests from carriers regarding possible inaccurate information loaded to a Carrier Profile and complete adjustments. This may trigger the need for risk factor score recalculation or engagement of third-party audit.
- Determine appropriate corrective actions or sanctions in accordance with legislation and within the department's Intervention and progressive disciplinary policies.
- Generate and action multiple Program reports.
- Review and assess profiles of higher-risk carriers and relevant program information to determine if requirements have been met, and action or recommend actions to restore compliance to federal and provincial requirements.
- Develop correspondence to indicate action taken or required.
- Administer and process Program payments.

2. Third Party Program (TPA) Administration

- Support the recruitment and onboarding of TPA candidates for the program.
- Participate in the development and delivery of training curricula and materials, including program reference materials.
- Work with IT to ensure all systems used by TPA's are working, and solution fixes when necessary/possible.
- Answer TPA-specific inquiries on how to conduct audits and reviews.
- Process audit submissions, reviewing documents for quality assurance and compliance to program requirements.
- Participate in the complaint management process and/or appeal process, including investigation, ongoing communications, recommendations for action, and follow up.
- Gather auditor/reviewer feedback or feedback from industry members to identify opportunities for red tape reduction within the program.
- Audit the TPA's for contractual compliance and take appropriate action for non-compliance.

3. Collision Reviews Administration

- Assess collision review applications to ensure the application is complete and all minimum supporting documents are received.
- Follow up with carriers to address any outstanding or incomplete information.
- Set up new e-reviews in TSIS including all information and associated police reports.
- Determine if the carrier has shown reasonable justification to support the removal of points off their carrier profile based on department policy and regulatory standards.
- Complete the e-review in TSIS and the review process in MOTRIS, which updates the carrier's profile and sends documentation indicating the decision of the review.

4. Program Information and Responses to Inquiries

- Provide education to the public relating to commercial vehicle safety.
- Provide safety information, responding to phone calls and emails from clients and the public.
- Establish and maintain liaison with internal and external stakeholders and safety representatives of commercial carrier organizations to support effective communications.
- Respond to TPA-specific inquiries on how to conduct audits and reviews.
- Triage answers to complex inquiries with subject matter experts within Alberta Transportation and Economic Corridors and other departments, as necessary.
- Develop monthly newsletters to provide TPAs with information and updates.
- Develop informational material as required to support the deployment of audits and reviews.
- Conduct research into carrier's compliance history and create summary packages for the Manager as a result of a Registrar Reconsideration Program application.

5. Program Policy and Process Development

- Complete quality control checks on data entry and information management to sustain program accuracy, integrity, and consistency across Coordinators.
- Identify policy or process conflicts or gaps and participate in their resolution.
- Participate in user testing for new system or program process changes.
- Provides information sharing, back up, and support as needed to fellow team members.
- Provides in-depth knowledge of system interfaces to gather evidence through ARC (Assessment of Regulatory Compliance), Transportation Safety Information System (TSIS), Electronic Vehicle Inspection Program (e-VIP), e-Inspections, eCollision, Justice Online Information Network (JOIN).
- Participates in the development and maintenance of administrative/procedure manuals and templates.
- Participates in the review and update of policy and schedules that are used in the progressive disciplinary model.
- Participate at subject matter experts in the development of an Excellent rating program.
- Process application submissions, review documents for quality assurance and compliance to the Excellent rating program requirements.
- Review and assess carrier eligibility to determine new and on-going participation in the Excellent rating program.
- Monitor those carriers with an Excellent rating monthly, to ensure continued compliance and either action or recommend actions to maintain compliance to program requirements.

Problem Solving

Typical problems solved:

There are multiple individual programs within the broad Compliance Program, each with their own policy and process. The Compliance Coordinator is challenged to ensure the appropriate standards and policies are applied and that issues (e.g., errors on a profile) and applications are thoroughly assessed and dealt with in an efficient and timely manner; this could entail reaching out to other units and reviewing diverse documents in multiple systems. The position is responsible in ensuring that a client has been given the opportunity to continue operation with the least disruption in service. Every scenario or solution is diverse and customized to the specific carrier - there is no cookie cutter solution. As changes to a carrier profile could impact one's professional career, the Compliance Coordinator employs conflict resolution strategies to ensure the personal safety of all parties in difficult, volatile, sensitive and/or stressful situations, providing support and information in a calm, respectful, and informative manner.

Types of guidance available for problem solving:

Guidance for problem-solving is provided by the Manager as well as the incumbent's own program knowledge and experience. The position has available manuals and procedures to guide them to make interim and final decisions (e.g., for collision reviews). If there is something that is over and above these instructions, the Coordinator has the discretion to make those decisions or for more complex files, can consult with the Manager.

Direct or indirect impacts of decisions:

The work of this position impacts:

- the efficient operation of the broad Compliance Program (including TPA Program and Collision Reviews) delivery and development through multiple responsibilities. Successful implementation of the Compliance Program leads to safer roads for Alberta and all highway users.
- accuracy and currency of Carrier Profile information and the related monitoring of higher-risk profiles to shift them back to compliance with federal and provincial standards and requirements. Changes to the Carrier Profile and engagement of progressive disciplinary actions, or recognition for safety excellence, impacts the livelihoods of carriers.
- integrity of the TPA Program by reviewing TPA reports and monitoring TPA contractual compliance to Program requirements.
- integrity of the TPA Program by reviewing Quality Assurance reports and carrier complaints and applying the appropriate action for non-compliance.

Key Relationships

Major stakeholders and purpose of interactions:

Internal

- Team staff - collaborate and share information; provide back-up support as needed.
- Manager - raise awareness to emerging issues of significance and participate in their resolution; provide inputs to process and policy updates.
- Service Alberta (Motor Vehicle Specialists) - address ROADS inquiries regarding client information, creating clients, adding alerts/restrictions, processing registry payments, canceling plates and CORES inquiries for corporate ownership tracking and changes.
- Other department units:
 - Dangerous Goods - client/carrier information, transportation incidents, payment tracking and processing.
 - Vehicle Safety - CVIP inspections, CVIP stations, permits exemptions, payment tracking and processing, etc.).
 - Driver Compliance & Monitoring - license status, Class 1, 2 ,3, 4, driving school information.
 - Prorate Services - for client information, cancellation of plates.
 - Central Permit Office - issuance of permits that pertain to specific vehicle configurations, clarification of permit information when Branch is conducting related investigations.
 - Other departments (e.g., Public Safety and emergency Services (Commercial Vehicle Enforcement) - liaise with Transport Officers regarding on-road enforcement activities including violation tickets, CVSA inspections, other documented violations, collisions and incident reports.

External

- Commercial Carriers - discuss the requirements of the National Safety Code Program and carrier compliance information/requirements.
- Transport Canada front-line staff - supplying relevant carrier audit information.
- Other jurisdictions - clarify transportation regulatory requirements and related client information.

Required Education, Experience and Technical Competencies

| Education Level | Focus/Major | 2nd Major/Minor if applicable | Designation |
|------------------|-----------------------|-------------------------------|-------------|
| Diploma (2 year) | Public Administration | | |

If other, specify:

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

Experience

- Five years of progressively responsible related experience; or equivalent: one year of experience for one year of education or one year of education for one year of experience.
- Able to maintain JOIN, MOVES, MOTRIS, ROADS security access.

Technical Competencies, certification and/or training

- Thorough knowledge of the Compliance Program to administer multi-faceted program operations and provide program information to multiples stakeholders; this includes relevant legislation, policy, standards and program operations processes.
- Ability to adapt and be versatile in a fast-paced environment.
- Demonstrated forward thinking, generating innovative ideas on updates and advancements to procedures or opportunities for growth to streamline and create program efficiencies.
- Ability to research, analyze, coordinate, and prioritize tasks and address a high volume of complex and

often sensitive issues.

- Well-developed decision-making skills across a variety of situations.
- Ability to integrate multiple pieces of information to assess and formulate a decision.
- Ability to develop/update procedures and provide input into policy updates.
- Strong writing and oral communication skills.
- Ability to remain professional, tactful and deal with confidential information.
- Ability to handle complex clients, with a customer focused approach to service excellence and a positive attitude.
- Highly developed teamwork skills necessary to support peers and stakeholders and to transfer knowledge between team members to accomplish Branch goals and objectives.
- Strong organizational and time management skills to handle a variety of tasks to meet identified timelines.
- Strong business application abilities to access information on-line (e.g., ROADS/MOTRIS/TRAVIS/CORES) and to prepare information/reports/correspondence (using Word, Excel, Adobe Acrobat, etc.).

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 | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Considers inter-relationships and emerging trends to attain goals: <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 | The Compliance Coordinator considers the inter-relationships among different program components and identifies and implements changes while remaining objective under pressure to mitigate risks and identify impacts within the broader carrier monitoring and audit program. |
| Drive for Results | <input type="radio"/> | <input checked="" type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | Works to exceed goals and partner with others to achieve objectives: <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 | The Compliance Coordinator is a client-facing role which provides direct program delivery in a timely manner to achieve identified performance targets and program objectives. Efficiencies and improvements are identified to support program priorities and results. |

| | | | |
|------------------|--|--|--|
| 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 | The Compliance Coordinator proactively shares information across the team and with stakeholders in a timely and professional manner and identifies key stakeholder contacts to increase the efficiency of program processes. |
|------------------|--|--|--|

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.