

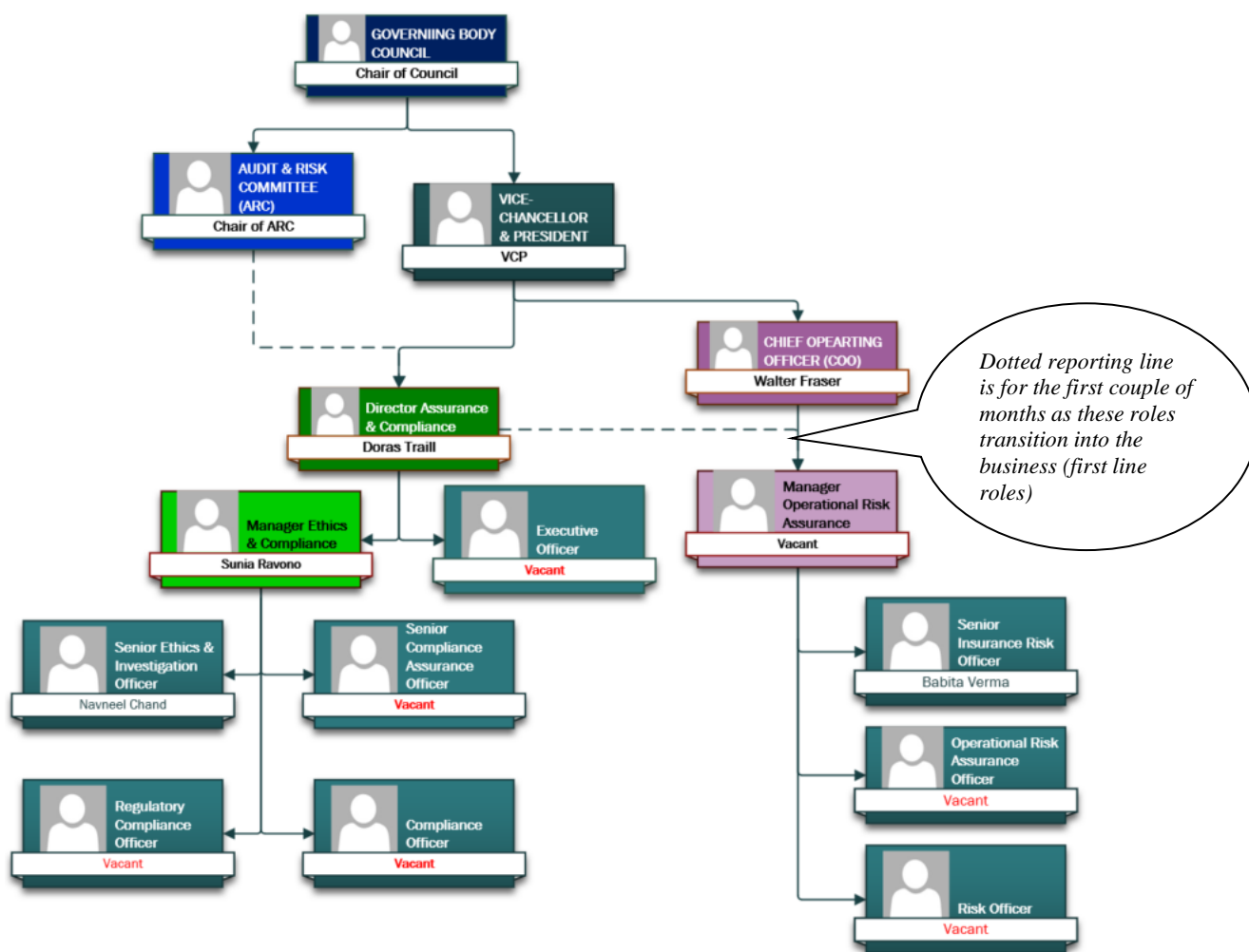
**FORM 5.5.05A**  
**POSITION DESCRIPTION**

**IDENTIFICATION**

**Position Title:** Senior Compliance Assurance Officer      **Position Number:** LAC009  
**Section :** Assurance and Compliance      **Department:** Ethics and Compliance  
**Location:** Laucala Campus      **Category:** Comparable Grade: Level: 2 Step: 1 - 6  
**Current Incumbent:** Revised Position      **Date of substantive appointment:** ASAP  
**Reports to:** Manager Ethics and Compliance      **Supervised by:** Manager Ethics and Compliance

**ORGANIZATION CONTEXT**

**Current Structure: Assurance & Compliance Section**



**PURPOSE**

The Senior Compliance Assurance Officer is responsible for ensuring the organization adheres to legal standards and internal policies. This role involves leading comprehensive compliance audits, identifying potential compliance issues, and implementing strategies to mitigate risks effectively.

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**NATURE AND SCOPE**

The role is analytical and proactive, requiring a high degree of integrity and attention to detail. The Senior Compliance Assurance Officer plays a critical part in safeguarding the organization against compliance risks and enhancing the culture of compliance.

**Scope of Responsibilities**

1. Compliance Audits
  - Conduct regular and ad-hoc compliance audits across various departments.
  - Provide detailed audit reports that document findings, assess compliance levels, and highlight any areas of concern or non-compliance.
2. Remediation Plans and Follow-Ups
  - Develop actionable remediation plans for any compliance issues identified during audits.
  - Follow up on the implementation of these plans to ensure effective resolution and to prevent recurrence
3. Training Programs
  - Design and deliver compliance training programs tailored to different departments and levels within the organization.
  - Assess the effectiveness of training programs and update content as necessary to address new regulations or findings from audits.
4. Continuous Improvement Initiatives
  - Regularly review and analyze the effectiveness of existing compliance programs.
  - Recommend improvements based on audit outcomes, changes in regulatory environments, and best practices.
5. Risk Assessment Reports
  - Conduct periodic risk assessments to identify potential areas of compliance vulnerability.
  - Conducts key control testing as per the Compliance Plan
  - Provide reports that detail risk findings and recommend strategies for risk mitigation.
  - Update and maintain the Tier 1 Risk Register
6. Training and Development
  - Training Programs: Design and deliver training programs to enhance employees' understanding of medical insurance benefits and HR risk management practices.
  - Awareness Campaigns: Promote a culture of compliance and risk awareness through ongoing communication and education initiatives.
7. Incident Management
  - Incident Response: Manage and investigate serious compliance violations including incorrect/delayed regulatory reporting, violation of Labour laws, breach of contractual obligations and ethical violations.
  - Corrective Actions: Develop and implement corrective action plans to address and resolve incidents, preventing recurrence.
  - Report significant compliance incidents to senior management.
8. Reporting and Documentation
  - Maintain comprehensive records of compliance activities and findings.
  - Prepare regular compliance reports for senior management and the board of directors.
  - Ensure documentation is organized and accessible for audits and inspections.

**POSITION DIMENSIONS**

**Staff Responsible for:**

Directly: Nil

Indirectly: Nil

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Total Level of Costs: Comparable Level 2 – FJD53,255.72 to FJD65,040.91

**Limits of Authority:**

Financial: \$ \_\_\_\_\_ Non-Financial: as per Job Description

**Key Relationships /Internal and External Contacts:**

*Lists the key inter-relationships that is necessary for effective performance in the job. Also describe the nature of contact most typically expected with those key working relationships*

<p><b>External</b></p> <ul style="list-style-type: none"> <li>• Regulatory Bodies</li> <li>• Other Assurance Providers/Consultants</li> <li>• Industry Peers and Professional Associations</li> <li>• Legal Counsel</li> </ul>	<p><b>Purpose of Contact</b></p> <ul style="list-style-type: none"> <li>• ensure the organization is compliant with all legal standards, report compliance issues, and receive updates on new or changing regulations that affect the organization.</li> <li>• facilitate external audits, discuss findings, and use external insights to enhance internal compliance practices and frameworks.</li> <li>• exchange best practices, stay updated on industry trends, and participate in forums and discussions that promote compliance and ethical standards within the industry.</li> <li>• obtain external legal advice on complex compliance issues, especially those involving multiple jurisdictions or specialized areas of law.</li> </ul>
<p><b>Internal</b></p> <ul style="list-style-type: none"> <li>• Manager Ethics &amp; Compliance</li> <li>• A &amp; C team members</li> <li>• Department managers/section heads.</li> <li>• HR</li> <li>• IT</li> <li>• Finance</li> <li>• Internal Audit</li> </ul>	<p><b>Purpose of Contact</b></p> <ul style="list-style-type: none"> <li>• Report on compliance activities, discuss strategic directions, receive guidance, and ensure alignment with organizational compliance policies.</li> <li>• To collaborate on compliance projects, delegate tasks, share information, and foster a teamwork environment to ensure effective execution of compliance programs.</li> <li>• communicate compliance requirements, conduct department-specific risk assessments, and provide support in implementing compliance practices within their teams.</li> <li>• ensure that compliance training programs are integrated with overall staff development initiatives and to manage compliance issues related to employee behavior and corporate governance.</li> <li>• secure support on managing data, enhancing cybersecurity measures, and ensuring that technology implementations comply with regulatory requirements.</li> <li>• monitor and ensure compliance with financial policies and regulations, particularly in areas like procurement, financial reporting, and fraud prevention.</li> <li>• To coordinate on audits, share findings, and develop strategies for improving internal controls and compliance monitoring.</li> </ul>

**KEY RESULT AREAS / KEY ACHIEVEMENT AREAS**

*Aim: KRAs to have a logical heading. KRAs: 4 – 6.in total Key tasks : 4-5 tasks per KRA. Performance Measures: Identify the performance standards for someone doing the job at the 100% level. Use both quantitative and qualitative measures, Measures the KRA as a whole, not every task. Maximum 3 measures for each KRA Include KRA for Corporate Responsibilities which is generic to all positions*

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<b>Key Result Areas</b> <i>Jobholder is responsible for:</i>	<b>Performance Measures</b> <i>Jobholder is successful when</i>
<b>KRA 1. Compliance Audit.</b> Execute comprehensive compliance audits to ensure adherence to internal policies and legal standards across various departments.	KPI 1. Completion of 100% of scheduled compliance audits annually KPI 2. Timely submission of audit reports within a set period post-audit (e.g., within 5 business days).
<b>KRA 2. Remediation Plans and Follow-Ups</b> Providing guidance and support to employees regarding their medical insurance benefits and addressing their inquiries and issues promptly.	KPI 1. Reduction in repeat findings in subsequent audits by at least 30% year-over-year. KPI 2. 80% of remediation actions implemented within agreed timelines
<b>KRA 3. Trainings Programs</b> Deliver compliance training programs to meet organizational needs and address new regulatory requirements.	KPI 1. Training participation rate of at least 80% for all targeted employees annually. KPI 2. Post-training assessment scores showing at least a 20% improvement in compliance knowledge KPI 3. Compliance violations related to regulatory and contractual requirements are remediated correctly and on time.
<b>KRA 4. Continuous Improvement Initiatives</b> Regularly evaluate and enhance the effectiveness of existing compliance programs based on audit results and regulatory changes.	KPI 1. Implement at least two major improvements to compliance programs each year based on audit feedback KPI 2. Annual review and update of all compliance programs to reflect changes in regulations.
<b>KRA 5. Risk Assessment Reports</b> Conduct thorough risk assessments and maintain up-to-date compliance risk documentation to identify and mitigate potential compliance vulnerabilities.	KPI 1. Completion of all planned risk assessments on schedule each year. KPI 2. 100% up to date Tier 1 Risk Register with control test result and KRI adverse reporting (monitoring). KPI 3. Development of new policies or review of existing ones in response to identified risks and/or control inefficiencies and implemented effectively.
<b>KRA 6. Training and Development</b> Enhance organizational understanding and adherence to compliance through targeted training programs and awareness campaigns.	KPI 1. Development and delivery of at least four department-specific training sessions each year. KPI 2. Conduct at least two organization-wide awareness campaigns annually to promote compliance and risk management.
<b>KRA 7. Incident Management</b> Effectively manage and resolve compliance incidents, ensuring robust incident response mechanisms and corrective actions are in place	KPI 1. Resolution of 80% of compliance incidents within 30 days from identification. KPI 2. 100% of significant incidents reported to senior management within 24 hours of detection. KPI 3. Corrective action plans following incident investigations are implemented effectively
<b>KRA 8. Reporting and Documentation</b> Maintain accurate and accessible records of all compliance activities, ensuring transparency and readiness for internal and external audits	KPI 1. 100% of compliance reports submitted to senior management and the board on a quarterly basis. KPI 2. Annual audit readiness, with all necessary documentation organized and accessible, achieving a minimum audit satisfaction rating of 80%.

**TERMS & CONDITIONS**Salary: Comparable Level 2 [FJD53,255.72 to FJD65,040.91]Length of Contract: 3 years (renewable upon mutual agreement)Gratuity and Allowances: N/AOther Benefits: As per current staff ordinance and collective agreement

**POSITION DESCRIPTION****POSITION SPECIFICATION****Qualifications (or equivalent level of learning)**

<i>Essential</i>	<i>Desirable</i>
<ul style="list-style-type: none"> <li>Bachelor's degree; and a postgraduate qualification in Law, Accounting or related field from a recognized university;.</li> </ul>	<ul style="list-style-type: none"> <li>Professional certification such as Certified Compliance &amp; Ethics Professional (CCEP), Certified Information Systems Auditor (CISA), Certified Internal Auditor (CIA), or equivalent;</li> <li>Master's qualification in related disciplines;</li> </ul>

**Knowledge / Experience**

<i>Essential</i>	<i>Desirable</i>
<ul style="list-style-type: none"> <li>A minimum of four (4) years' relevant proven experience in in a compliance or internal audit role. at a senior officer to middle management level for a large organization.</li> <li>Experience in carrying out multiple activities within tight deadlines and with demonstrated ability to work as a Team Player in adversely multicultural environment;</li> <li>Sound knowledge &amp; understanding of Risk Management and Compliance frameworks and tools</li> <li>Excellent report writing skills;</li> <li>Excellent communication skills in English (written and oral) – demonstrates sensitivity and responsiveness in communication to all staff and business partners.</li> <li>Excellent analytical and problem-solving skills with a proactive approach to identify compliance issues and develop effective solutions.</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of global compliance standards and regulations, which is particularly valuable for organizations operating in multiple countries or looking to expand internationally.</li> <li>Ability to use advanced data analysis tools to monitor compliance and identify trends, which can be critical for proactive compliance management.</li> <li>Understanding of IT and cybersecurity issues related to compliance, such as data protection laws (e.g., GDPR) and the security of personal and sensitive information.</li> <li>Experience in managing change within an organization, especially in relation to implementing new compliance initiatives or significantly altering existing policies.</li> <li>Experience/familiarity with higher education industry, international and/or regional organizations.</li> <li>Has risk management, audit or law enforcement experience or minimum 3-5 years in leadership/ supervisory role</li> <li>Respectful and helpful relations with fellow colleagues</li> </ul>

**Key Skills / Attributes / Job Specific Competencies**

*The following levels would typically be expected for the 100% fully effective level:*

<b>Expert level</b>	<p>These are skills and competencies at the highest level of proficiency, representing areas where the Senior Compliance Assurance Officer should have deep expertise and be able to lead, innovate, and provide strategic guidance.</p> <ul style="list-style-type: none"> <li><b>Compliance Program Development:</b> Ability to design and implement comprehensive, organization-wide compliance programs that address specific risks and regulatory requirements.</li> <li><b>Regulatory Interpretation and Application:</b> Expert knowledge of relevant laws and regulatory requirements; able to interpret complex legal material and apply it effectively to benefit the organization.</li> <li><b>Risk Assessment and Mitigation:</b> Skilled in conducting detailed risk assessments and developing strategic mitigation plans to address potential compliance vulnerabilities.</li> <li>Strategic Thinking: Ability to think strategically about compliance risks and develop proactive measures to mitigate those risks.</li> <li><b>Strategic Planning:</b> Ability to strategically integrate compliance strategies with overall business goals, forecasting changes and planning for future compliance needs to achieve the organisation's vision.</li> <li>Leadership: Ability to inspire and motivate team members to achieve the organisational goals.</li> </ul>
<b>Advanced level</b>	<p>Advanced competencies are those in which the officer is highly proficient, capable of performing tasks independently and training others.</p>

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	<ul style="list-style-type: none"> <li>• <b>Audit and Investigation Techniques:</b> Advanced skills in planning, conducting, and managing comprehensive compliance audits and investigations.</li> <li>• <b>Stakeholder Management:</b> Ability to engage with, influence, and manage relationships with internal stakeholders and external regulators effectively.</li> <li>• <b>Remediation and Corrective Actions:</b> Competent in developing effective remediation strategies for compliance issues and overseeing their implementation.</li> <li>• <b>Policy and Procedure Management:</b> Proficient in crafting clear, effective compliance policies and procedures and ensuring their implementation across the organization.</li> </ul>
<b>Working level</b>	<p>Working level competencies are those necessary for day-to-day operational effectiveness in the role, requiring a good working knowledge but not the depth needed at expert or advanced levels.</p> <ul style="list-style-type: none"> <li>• <b>Training and Development:</b> Skilled in creating and delivering targeted compliance training and development programs to diverse audiences within the organization.</li> <li>• <b>Reporting and Documentation:</b> Ability to maintain accurate records and prepare detailed compliance reports that meet organizational and regulatory standards.</li> <li>• <b>Incident Response Management:</b> Competent in managing the initial response to compliance incidents and violations, ensuring quick and effective handling.</li> <li>• <b>Data Analysis:</b> Proficient in using data analysis tools to monitor compliance and identify trends that may indicate areas of risk.</li> </ul>
<b>Awareness level</b>	<p>These are foundational competencies, where basic knowledge is required but detailed expertise is not critical for the role.</p> <ul style="list-style-type: none"> <li>• <b>IT Skills:</b> Basic understanding of IT systems and software used in compliance monitoring and reporting.</li> <li>• <b>Change Management:</b> Awareness of change management principles to support the implementation of new compliance initiatives or changes in existing policies.</li> <li>• <b>Communication Skills:</b> Fundamental skills in communicating effectively across various platforms and to different audiences, including training and presentations.</li> <li>• <b>Ethical Reasoning:</b> Basic understanding of ethical principles and their application in making decisions related to compliance and governance.</li> </ul>

## APPROVAL

Supervisor name:

Supervisor's Signature:

Date:

Staff Name:

Staff Signature:

Staff ID:

Date: