

## JOB DESCRIPTION

**Job Title:** Compliance and Quality Analyst

**Post Number:** To be assigned

**Proposed Job Level:** GMG/SEG 2

**Division:** Executive Office

**Reports to:** Director Strategic Planning, Performance Monitoring and Evaluation

**Direct Reports:** N/A

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This Job Description has been approved by the Accountant General and will be used as a management tool and specifically will enable the classification of the position and the evaluation of the performance of the post incumbent. It is validated as an accurate and true description of the job as signified below:

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Accountant General

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Date

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Date received in Human Resource Unit

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Date created/revised

## **1. STRATEGIC OBJECTIVES**

The Accountant General provides leadership and guidance to strengthen all areas of operations and in particular: budget execution; management of financial resources and cash planning; fiscal accounting and reporting, and the management of receipts and payments through the Treasury Single Account (TSA).

The Accountant General plays a key role in developing, monitoring and evaluating overall corporate strategy in keeping with the strategic direction of the Accountant General's Department and that of its parent Ministry, the Ministry of Finance and the Public Service.

## **2. JOB PURPOSE**

Under the direct supervision of the Director Strategic Planning, Performance Monitoring and Evaluation, the incumbent is responsible for reviewing and analyzing control systems to prevent or deal with violations of the legal and regulatory guidelines and internal policies and procedures. This position is responsible for proactively identifying, analyzing, and ensuring the implementation of recommendation to mitigate compliance risks within the AGD. The incumbent also has the responsibility to monitor and evaluate the effectiveness of controls and recommend continuous improvement to enable the AGD to achieve its strategic objectives. Additionally, this position is responsible for assisting with the operation and maintenance of the ISO 9001: 2015 Quality Management System.

### **Summary of the broad purpose of the position in relation to Government's goals and strategies:**

- To improve the AGD's compliance ratings in relation to existing legal and regulatory guidelines and internal controls;
- To monitor the implementation of agreed recommendations arising out of audit activities and report accordingly;
- To provide support to the Audit Committee as well as the Audit Monitoring Working Group;
- To support the management of the ISO 9001:2015 Quality Management System (QMS).
- To foster and promote a culture of quality and compliance;
- To contribute to the achievement of the strategic objectives of the AGD

### 3. KEY OUTPUTS

- Compliance monitoring and evaluation framework developed and implemented.
- Legal and regulatory guidelines and internal controls adhered to.
- Internal controls implemented.
- Post-implementation assessment of recommendations conducted and reports prepared and submitted.
- Standard Operating Procedures (SOPs) developed, reviewed, approved and monitored.
- Governance and accountability mechanisms evaluated and recommendations made.
- Continuous improvement strategies developed and implemented.
- Existing matrix evaluated and/or enhanced OR new matrix developed, implemented and maintained.
- Research and analysis conducted and findings documented, implemented and monitored.
- Individual work plan developed.
- All compliance programmes and activities efficiently and effectively managed. QMS activities coordinated and required documents/reports prepared

### 4. KEY RESPONSIBILITIES

#### *Technical*

- Undertakes root cause analysis on issues identified through monitoring;
- Ensures that mediation and broader procedural changes that are proposed are implemented;
- Develops and implements compliance and quality management framework and strategies;
- Addresses non-conformities arising from audits; Analyse and identify common non-conformities and recommends a plan to remedy same.
- Evaluates existing policies and procedures to coordinate internal practices and to ensure compliance with regulations;
- Reviews the AGD's internal control mechanisms to ensure that they measure and manages the risks it faces;
- Resolves compliance issues as they arise and advise management on rules and controls;
- Provide advice and guidance to line managers on the implementation of action plans to address identified gaps;
- Promote compliance with stipulated procedures, policies and legislation;
- Collaborates with the Enterprise Risk Management Unit (ERMU) and Legal Office and other key stakeholders to monitor, implement and analyze compliance programmes;
- Engages in the timely collection of data, analysis and reporting on key performance measures;

- Evaluates the effectiveness of existing metrics and improve on same or design new metrics to identify trends, patterns, or potential areas of concern;
- Conducts interpretive risk- based compliance monitoring reviews to determine compliance with regulatory requirements;
- Shares current information of policies, procedures and legislation that the AGD's staff should be aware of so as to minimize risk exposure;
- Tracks findings and recommendations from audits and report on status of implementation;
- Collaborates with senior managers in the review and understanding of corporate governance guidelines;
- Keeps abreast of amendments to policies, procedures and legislations;
- Monitors and evaluates the AGD's efforts at corrective actions to ensure that findings and recommendations (weaknesses and or deficiencies) are effectively dealt with;
- Prepares reports and presentations on findings and analysis;
- Collaborates with Unit heads in resolving compliance issues as they arise;
- Participates in the development of the corporate, operational and individual work plans and annual budget to reflect the AGD's strategic priority areas;
- Ensures that there are sufficient and appropriate physical resources to undertake the operations efficiently and effectively.
- Supports the operation and maintenance of the ISO Quality Management System (QMS); which includes coordinating ISO Steering Committee Meetings, Management Reviews and Internal and External ISO Audits as required; ensuring the establishment and achievement of quality objectives and key performance indicators.
- Ensures proper control of ISO QMS documentation.
- Ensures that all systems and procedures are updated, revised and modified to meet the needs of external Certification Body
- Verifies closure of non-conformities with Certification Bodies
- Trains others in all aspects of the quality system and application of procedures
- Serves as the Department's quality expert

#### Any Other Duties

- Any other related duty that may be assigned from time to time.

## 5. KEY PERFORMANCE INDICATORS

The job is successfully performed when:

- Interpretive risk- based compliance monitoring reviews conducted in accordance with established guidelines;

- Recommendations/proposals are submitted for implementation and are in keeping with established standards;
- Monitoring and Evaluation framework developed and implemented in accordance with established guidelines
- Technical reports, reviews and analyses completed within agreed timeframe;
- Quality, soundness and timeliness of advice, reviews and reports containing findings, assessment and recommendations;
- Breaches and infractions are detected and communicated to process owners/Managers within the agreed timeframe;
- Governance and accountability mechanisms reviewed and gaps documented and presented in accordance with established policies and legislation;
- Confidentiality, integrity and sensitivity are displayed in the execution of duties at all times;

## 6. AUTHORITY

- Recommends appropriate standards
- Recommends improvements in corporate governance framework
- Recommends changes to regulatory framework

## 7. CONTACTS

### *Internal*

<i>Contact</i>	<i>Purpose</i>
Accountant General	Provides technical guidance and advice regarding the planning, monitoring and evaluation of processes.
	Reports on results of monitoring and evaluation.
	Reports on outcomes of audits
Deputy Accountant Generals & Senior Directors	Provides technical guidance and advice regarding the planning, monitoring and evaluation of processes.
	Reports on results of monitoring and evaluation. Conducts training sessions.
Unit Heads	Provides technical guidance and advice regarding the planning, monitoring and evaluation of processes.
	Reports on results of monitoring and evaluation. Conducts training sessions.
Human Resource Management and Development Unit	Ensures alignment of operational plans with unit and individual work plans.
Finance and Accounts Unit	Provides advice regarding the estimates of expenditure, and the costing of the corporate and operational plans.

Staff	Receives and provides information.
	Conducts training sessions.
	Provides guidance/coaching

<i>External</i>	
<b>Contact</b>	<b>Purpose</b>
<b>Ministry of Finance and the Public Service</b>	<b>Receives planning advice and direction and the submission of required reports.</b>
	<b>Coordinate audit/compliance activities with the Internal Audit Unit of MoFPS</b>
<b>Auditor General's Department</b>	<b>Coordinate audit/compliance activities</b>
<b>Bureau of Standards and National Certification Body of Jamaica</b>	<b>Matters relating to ISO certification, Audit, training etc.</b>

## **JOB SPECIFICATION**

### **8. REQUIREMENTS FOR THIS JOB:**

#### **a. Qualification and Training**

Essential:

- A Bachelor's Degree from a recognized institution in the disciplines of Management Studies, Business Administration, Public Policy, Public Administration or related discipline.
- Training in the principles and practices in Compliance and Quality Assurance

#### **b. Essential Experience and Knowledge:**

- At least three (3) years related experience.
- Proficient in the use of Microsoft Word, Excel and PowerPoint.
- Knowledge of quality management, compliance and the various regulations ( FAA Act et al)
- Knowledge of corporate governance

#### **a. Competencies**

The incumbent is a public servant who represents the Government at all times; who is expected to participate in managing the Department, and be a part a team of professionals in realizing the goals and objectives of the Department, in a highly dynamic environment. The following competencies are required for the effective performance of this job:

**Core Competencies**

- Excellent Oral and Written Communication Skills
- Good Problem Solving and Analytical Skills
- Excellent Customer Focus Skills
- Results Focus
- Integrity

**Technical Competencies**

- Knowledge in Compliance and Quality Management
- Good knowledge of required Legislations, Policies and Procedures
- Risk management

**Managerial Competencies**

- Strong Leadership Skill
- High Emotional Intelligence
- Strong Performance Management Skills

**9. SPECIAL CONDITIONS ASSOCIATED WITH THE JOB**

**Physical Demands –**

- Pressured working conditions with numerous critical deadlines.
- Extended working hours may be required

**Work Environment –**

- Normal office conditions

Employee signature below constitutes employee's understanding of the requirements, essential functions and duties of the position.

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Name of Employee

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Signature of Employee

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Date

Name of Supervisor

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Signature of Supervisor

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Date