

## JOB DESCRIPTION

<b>JOB TITLE</b>	Compliance Specialist		
<b>ROLE MISSION</b>	To ensure effective & efficient compliance for the SABFS and the Sheriffs Profession.		
<b>ORGANISATIONAL STRUCTURE</b> REPORTS TO DIRECT REPORTS (first level) NUMBER OF REPORTEES (second level)	General Manager: Corporate Services and Finance  SharePoint Database Administrator, Compliance Administrators, Unclaimed Trust Fund Administrator  Data Capturer.		
<b>REQUIRED MINIMUM QUALIFICATION/ EXPERIENCE</b>	Degree in Law/Accounting and 5 years plus experience in compliance and risk management practises.		
<b>JOB GRADING LEVEL</b>	C4		
<b>REQUIRED COMPETENCIES</b>	Extensive knowledge of compliance and risk management, Supervisory Skills, Organisational ability, Flexibility, Goal directed, Proactive, Teamwork and Cooperation, Customer Service Excellence (Internal and External), Sound interpersonal relations and people management skills, Computer literate, Basic financial management skills, Excellent communication skills (oral and written).		
<b>NO.</b>	<b>KEY PERFORMANCE AREAS (MAJOR ACTIVITIES/ RESPONSIBILITIES)</b>	<b>INPUT (METHODS USED)</b>	<b>OUTPUT (EXPECTED RESULTS)</b>

1.	Compliance of Sheriffs with Legal Obligations Phase 1 in terms of the sheriffs Act – Section 19(1) and section 22	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the Legal Obligation Phase one process</li> <li>• Ensure compliance to all requirements i.t.o. the SOP</li> <li>• Ensure that the required documentations are approved for issuing prior to issuing of the LOP1 documents.</li> <li>• Issue legal obligation pack</li> <li>• Ensure that the compliance list are prepared by the database administrator</li> <li>• Ensure that all compliance staff are clear on their respective roles in the process</li> <li>• Ensure that all process are performed correctly and captured on the Database</li> <li>• Randomly check the information to the database</li> <li>• Prepare a LOP1 annual plan and communicate it with the compliance staff as well as with management</li> <li>• Ensure that sheriffs are informed as to submission received as well as compliance to the LOP1</li> <li>• Monitor legal obligations process by requesting a standard report to ensure that the LOP1 process are done correctly and accurately</li> <li>• Prepare weekly reports to the GM</li> <li>• Prepare monthly reports to management to report on any problems or issues that needs attention</li> <li>• Refer non-compliance to legal for inspection and investigation</li> <li>• Issue charge letter legal/ compliance</li> </ul>	
----	---	---	--

2.	Compliance of Sheriffs with Legal Obligations Phase 2 in terms of the sheriffs Act – Section 26	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the Legal Obligation Phase two process</li> <li>• Ensure compliance to all requirements i.t.o. the SOP</li> <li>• Ensure that the required documentations are approved for issuing prior to issuing of the LOP2 documents.</li> <li>• Issue legal obligation pack</li> <li>• Ensure that the compliance list are prepared by the database administrator</li> <li>• Ensure that all compliance staff are clear on their respective roles in the process</li> <li>• Ensure that all process are performed correctly and captured on the Database</li> <li>• Randomly check the information to the database</li> <li>• Prepare a LOP2 annual plan and communicate it with the compliance staff as well as with management</li> <li>• Ensure that sheriffs are informed as to submission received as well as compliance to the LOP2</li> <li>• Monitor legal obligations process by requesting a standard report to ensure that the LOP2 process are done correctly and accurately</li> <li>• Prepare weekly reports to the GM</li> <li>• Prepare monthly reports to management to report on any problems or issues that needs attention</li> <li>• Prepare reports – Inform sheriffs of non-compliance resulting in non-issue of FFC</li> </ul>	
----	---	---	--

3.	Sheriffs Statistics	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the SABFS database for accurate and correct statistics</li> <li>• Oversee the process to maintain the database for optimal use and efficiency in relation to supply of statistics</li> <li>• Provide monthly/quarterly Compliance report to management and committees</li> </ul>	
4.	SABFS Compliance to all Acts	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the SABFS database of acts to comply with for accurate and correct reporting</li> <li>• Oversee the process to maintain the database for optimal use and efficiency</li> <li>• Provide monthly/quarterly Compliance report to management and committees</li> </ul>	
5.	Maintaining SABFS database	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the SABFS database</li> <li>• Oversee the process to maintain the database for optimal use and efficiency</li> <li>• Advise management throughout the year via reports on the status of the database</li> <li>• Ensure the effective administration of the database</li> <li>• Monthly/Quarterly reporting to the GM Finance and Corporate Services for committee purposes.</li> </ul>	
6.	Enterprise Risk Management – ERM	<ul style="list-style-type: none"> <li>• Ensure that adequate systems and processes are in place for the effective and efficient administration of the SABFS enterprise risk management process</li> <li>• Ensure that risks are monitored and reported for the SABFS as a whole</li> <li>• Prepare monthly and quarterly reports</li> </ul>	

7.	General management	<ul style="list-style-type: none"> <li>• Coordinate and manage operational planning process for Compliance, as well as inputs toward the strategic plan.</li> <li>• Prepare and manage annual budgets and operational plan for Compliance</li> <li>• Ensure that Compliance is adequately staffed</li> <li>• Ensure that staff are adequately trained</li> <li>• Plan, organise, direct and monitor the work of Compliance</li> </ul>	
----	--------------------	---	--

<b>ROLE DEFINITION</b>	<b>SIGNATURES</b>
AGREED BY INCUMBENT:	
AGREED BY MANAGER:	
DATE:	