



JOB DESCRIPTION

Job Title:	Compliance Officer
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Department:	Finance, Admin and Compliance	Number of Incumbents:	1 (one)
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Job Analyst:	Practical Outsourcing Solutions	Reports To:	Manager : Finance, Admin and Compliance
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It is hereby acknowledged that this Job Description is a broad indication of the work the job holder is required to do. The jobholder may be required to undertake other duties that can be reasonably expected from him / her, particularly when others are absent from work. No job title or job description can be regarded as a precise specification of duties, but should be seen as a guide to main responsibilities.

SIGNED AS ACCEPTED:

DIRECT REPORT	INCUMBENT
Date :	Date :

PRIMARY PURPOSE OF THIS POSITION:

The Compliance Officer is responsible for ensuring that inspections of Legal Practitioners trust account records are done when required. Review for compliance with the Legal Practitioners Act, the LSN's rules and basic accounting principles. Provide reports on inspections as required.

A. COMPETENCY PROFILE:

Well organized and ability to work independently;

Must possess excellent communication and interpersonal qualities both written and verbal;

Conversant with Microsoft Office and Pastel programs and stay abreast of new ways of working and communicating;

High values in teamwork, client / customer service and professionalism;

High understanding confidentiality and importance of non-disclosure;

Conversant with Microsoft Office and Accounting programs and stay abreast of new ways of working and communicating;

Must be able to handle highly confidential information in a strictly professional manner;

Must be able to maintain professional demeanor in times of high stress;

Effective time management and organizational skills, with the ability to manage multiple tasks with competing deadlines and the ability to prioritise tasks in an appropriate manner;

Trustworthy, reliable and accurate – attention to detail;

TRAINING REQUIRED TO ACHIEVE PROFICIENCY:

<i>Type of Training</i>	<i>Minimum Period</i>
On-the-Job training in all relevant policies, procedures, systems, regulations, legislations and the totality of the Law Society;	6 – 12 months

MINIMUM QUALIFICATIONS REQUIRED:

Degree in Accounting or relevant qualification with completed articles.

MINIMUM EXPERIENCE REQUIRED:

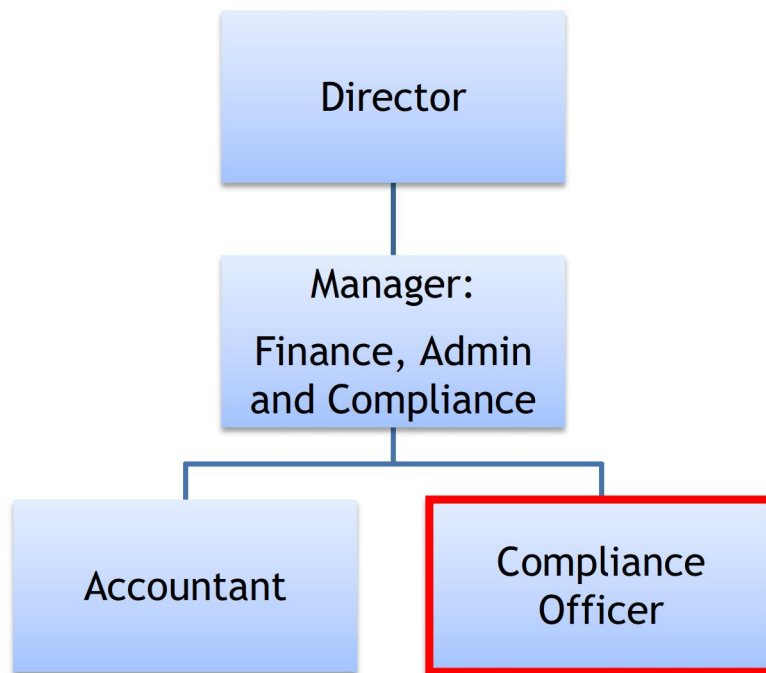
<i>Experience</i>	<i>Minimum Period</i>
I. Accounting and Auditing	a) 4 years
II. Computer literate: MS Office	
III. Valid Driver's License	

B. GENERAL:

Working Conditions:	Office & travelling as required
Degree of Supervision Required:	Occasional
Work Pressure:	Medium / High
Forward Planning Required:	Monthly & Weekly

C. ORGANIZATIONAL STRUCTURE:

(This is not the full structure – Only illustrative to see line of reporting)



D. DESCRIPTION OF TASKS:

<p>1. New firms <i>(all activities must be approved by the Relevant Manager)</i></p>	<ul style="list-style-type: none"> i) Interviewing all legal practitioners, who want to establish new firms to ensure that applications are filled in correctly. ii) Maintain training program to ensure that new applicants are tested on knowledge and skills relating to running a practice. iii) Maintain training program to ensure to test the knowledge, of persons who apply for FFC or exemption certificates, with regard to the LPA, Rules, controls, duties, etc relating to practice. iv) Monitoring of new firms for the first year for compliance with the Act and the Rules and provide support and guidance to the new firm and their staff members / bookkeepers
<p>2. All Firms <i>(all activities must be approved by the Relevant Manager)</i></p>	<ul style="list-style-type: none"> i) Maintain training program to ensure annual assessment of all partners, sole proprietors and directors to enable them to get fidelity fund certificates. ii) Maintain training program to ensure to build capacity and knowledge at all the firms for bookkeeping staff as well as the practitioners. iii) Conduct annual visits for meetings with the legal practitioners and the bookkeepers to establish the type of problems the practitioners are experiencing and to check on controls; if books are written up monthly, compliance with the Act and Rules of the LSN, etc. iv) Evaluate all incoming audit reports from auditors. v) Evaluate all audit refunds and ensure submission of audit refund claims to LPPF. vi) Process applications for either fidelity fund or exemption certificates annually, which include advising on the deadlines and follow-up on outstanding applications or documentation. vii) Evaluating all applications for FFC and to make recommendations to the Director for the issuing thereof viii) Maintain or setup an electronic FFC application process for future use. ix) Ensuring that the database of firms and auditors are updated monthly. x) Preparing all affidavits in respect of action to be taken against legal practitioners, not in compliance with the LPA and the Rules of the LSN. xi) Reporting auditors to PAAB, if necessary and if approved by manager. xii) Report on a monthly basis to the Manager on risk & compliance matters. xiii) Issue circulars as part of capacity building and development to the legal fraternity. xiv) Update and maintain a log of firm and member related accounting issues and problems.
<p>3. General</p>	<ul style="list-style-type: none"> i) Assist the Manager with any other relevant task deem necessary in order to ensure that the department operates sufficiently

