



Cañada College ♦ College of San Mateo ♦ Skyline College

GENERIC POSITION DESCRIPTION

COMPLIANCE OFFICER

A Classified Supervisory Position (Exempt)
Grade 192E – Salary Schedule 35

A. General Statement

The Compliance Officer performs professional internal auditing and compliance work. Reporting to the Chief Financial Officer, the Compliance Officer's responsibilities include the supervision of internal auditing and compliance functions, as well as complex procedural review and implementation. The Compliance Officer leads an internal audit group relating to internal audit and compliance activities for the District to determine the adequacy of the institution's systems of internal control and the degree of compliance with internal controls, policies, procedures, regulations, and laws; to determine the efficiency and effectiveness of financial, administrative, and academic management; and to perform other duties as specified by the Chief Financial Officer. Public contact is extensive, and involves staff, students, auditors, contractors, outside educational institutions, businesses and community representatives, and governmental agencies for the purpose of exchanging policy and procedural information. A high degree of independent judgment and creativity are required to analyze data and develop resolutions to a variety of minor and major problems that occur. The consequences of errors in judgment can be costly in employee time, public relations and/or institutional funding; however, administrative controls limit the risk of serious consequences in loss of revenue. A Compliance Officer can supervise the work of accounting paraprofessional, clerical and other staff as assigned.

B. Duties & Responsibilities

The duties below are representative of the duties of the classification and are not intended to cover all of the duties performed by the incumbent(s) of any particular position. The omission of specific statements of duties does not exclude them from the position if the scope of work is similar, related, or a logical assignment to this classification.

1. Prepares an annual audit plan and audit accomplishment report
2. Determines the priority of audits
3. Plans and conduct financial, operational, and compliance audits in compliance with internal auditing standards
4. Assists in the development of District policy and procedures related to finance and accounting
5. Trains administrators and staff on policy and procedures related to finance and accounting
6. Reviews implementation of policies and procedures
7. Coordinates audit activity with the District's independent auditors
8. Conducts special investigations as requested or deemed necessary
9. Makes recommendations for improved controls, operating procedures, accounting records, and systems designs

10. Examines and reports on the effectiveness of management in safeguarding assets and compliance with established policies and procedures
11. Prepares written reports of findings and recommends improvements
12. Exchanges information with College and District staff at all levels regarding policies and procedures related to the assigned functional accounting area
13. Provides technical information as a resource to various offices within the District
14. Attends, meetings, workshops, and other gatherings to obtain most current information
15. Drives a motor vehicle to visit off-site locations for meetings, conferences, workshops and other activities; represents staff at meetings, as assigned
16. Plans, coordinates and supervises daily operations in functional accounting areas, including the training, staff development, direction and evaluation of accounting and support staff
17. Monitors and evaluates performance of internal and external computerized financial record systems and develops recommendations, in conjunction with information technology staff, to implement system improvements and upgrades and to maintain effective integration of systems
18. Researches, compiles data for, and prepares complex fiscal reports to local, state, and federal agencies as required
19. Plans and reviews report data and conclusions with management staff; coordinates required changes in District fiscal records, policies, and procedures, in conjunction with senior management and other staff
20. Monitors and interprets Federal and State regulations and guidelines and assures compliance with requirements; updates and revises procedures as necessary
21. Uses a variety of spreadsheet and other software to analyze complex financial, statistical, and other data;
22. Sets up and maintains database and other online resources of data
23. Provides input into the development and modification of database programs, screens, data formats and record keeping
24. Provides special and regular reports on data collected
25. Implements financial requirements of contractual agreements made by the District
26. Monitors, reconciles and balances expenditure and revenue control accounts and general ledger accounts
27. Reconciles cash, prepares financial statements, and maintains chart of accounts
28. Posts revenue, abatement, accounts receivable, expenses, salaries and liabilities to district ledger
29. Prepares monthly income analysis summaries, cash flow statements, and fund balance statements
30. Compiles financial data for internal and external audits
31. Assists internal and external auditors in preparation of final reports as needed; assists staff in fiscal year-end closing of district records and preparation of year-end reports
32. Composes and prepares correspondence, recommendations and reports, using a variety of computer software
33. Monitors and manages various investments, certificates of deposit, and other fund instruments as assigned
34. Performs other related duties as assigned

C. Requirements

1. Bachelor's degree from an accredited institution in accounting, business administration, finance or a closely related field
2. Successful work experience of increasing responsibility that has included auditing, fund accounting; financial analysis and reporting; and project budgeting, planning, and design
3. Experience in the coordination of workloads with people at various levels within an organization
4. Skill in complex data research, analysis and reporting
5. Skill in the use of spreadsheets and a variety of computer software to compose and prepare data analysis, reports, summaries, correspondence and other materials
6. Extensive public contact with people of diverse cultures, language groups and abilities
7. Demonstrated skills in written and oral communication, including public speaking and persuasive communication

8. Skill in training, directing, supervising, and evaluating the work of others
9. Possession of a California Driver's license (or the ability to obtain one) and the ability to drive a motor vehicle to off-campus locations

OR

An equivalent combination of education and experience

D. Physical/Other Requirements

This classification requires multi-level tasking and strategic planning, attention to detail and organization of financial data, active listening; individual to large-group communication, persuasion, good memory, tact, patience, flexibility and the ability to drive a motor vehicle to off-site locations in order to perform the essential functions.

E. Knowledge, Skills & Abilities

1. Knowledge of generally accepted accounting and auditing principles, practices and procedures, and fund accounting
2. Knowledge of State Education Code, State Budget and Accounting policies and other applicable regulations
3. Knowledge of financial analysis and research procedures
4. Skill in the development and use of a variety of spreadsheet and other software instruments to conduct financial analysis, develop, format and prepare data for a variety of reports
5. Skill in planning, organizing, and coordinating the work of accounting and support staff, technical resources and other staff from various constituencies and levels within the organization
6. Skill in training, directing, supervising, and evaluating the work of others
7. Skill in oral and written communication, including public and persuasive speaking
8. Skill in planning, organizing, and prioritizing a variety of workloads and deadlines
9. Ability to communicate effectively with people of diverse cultures, language groups and abilities who are at various levels within organizations

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