

## **SENIOR COMPLIANCE MANAGER**

### **DEFINITION**

Under the general supervision of the Deputy Director or the Director of the Office of Management and Budget, the Senior Compliance Manager works in a confidential relationship to the policy-maker. The incumbent is responsible for directing and supervising the staff of the Compliance Division which is responsible for ensuring all agencies and departments adhere to any and all federal and state regulations. The Senior Compliance Manager will develop work plans and strategies for removing audit findings from the GVI audits. The incumbent evaluates work processes, conditions or control systems that are usually well-defined portions of more difficult or complex audits.

### **DUTIES (Not All Inclusive)**

Supervises and delegates the work of the Compliance Division staff.

Conducts site visits, virtual meetings both formal and informal to assist GVI agencies in discussing, deciding and determining best practices for clean and concise financial audits."

Implements strategies for engaging agencies and departments in a partnership to resolve audit findings and remain in compliance with all applicable policies and procedures.

Determines whether government agencies and departments are performing their accounting, custodial, or control activities in compliance with applicable federal and local laws, policies and procedures.

Prepares and reviews working papers showing financial schedules and supporting documents statistical data and all other data explaining the findings and results of an audit.

Recommends management solutions in anticipation of yearly audits.

Participates in conferences with agencies and departments audited to establish cooperative relationship and devise concerted approaches to problems.

Participates in entrance and exit conferences covering the scope of the activity audited and the resulting audit findings and recommendations.

Analyzes potential risks within specific areas of the agency or department to avoid compliance issues.

Maintains record of audit findings and any other violations of the federal or local regulations and contractual agreements.

Prepares written and visual presentations for the Director and may accompany the Director to legislative hearings or meetings to which testimony and/or participation is necessary.

Creates, suggests or recommends policy, guidelines and regulations that administer checks and balances to build infrastructure of financial appropriateness.

Performs other related work as required.

## **FACTOR 1- KNOWLEDGE REQUIRED BY THE POSITION**

High level knowledge of accounting and auditing theories, principles, and practices as they apply to governmental operations and contractual agreements.

Superior knowledge of report writing including the clear and concise use of the English language.

Ability to plan and supervise the work of staff members.

Ability to compare conditions observed or readily available data with requirements specified by regulations or established procedures or generally accepted accounting practices.

Proficient in Microsoft Office Suite (Word, Excel, PowerPoint, Access, and Outlook)

Strong problem solving and team building skills

Demonstrated supervisory experience and staff development experience

Strong oral and written communication skills

Ability to effectively network with senior management internally and externally

## **FACTOR 2- SUPERVISORY CONTROLS**

Supervision is exercised over members of the Compliance Division who perform agency responsibilities. Work is performed under the direction of the Director or Deputy Director. Incumbent is expected to exercise initiative. Work is reviewed through conferences and reports.

## **FACTOR 3- GUIDELINES**

Guidelines include general standards and directives, as established within the industry and OMB rules, regulations, procedures and manuals that are specific to the conduction of audits.

## **FACTOR 4- COMPLEXITY**

The incumbent is responsible for assisting the agencies with complying with all federal and local mandates. The incumbent is expected to exercise judgment and independence within the major duty areas.

## **FACTORS 5- SCOPE AND EFFECT**

The purpose of the work is to provide guidance and assistance with resolving problem areas identified by prior audits and creating the correct protocols to reduce the number of future audit findings.

## **FACTOR 6- PERSONAL CONTACTS**

Contacts are made with agency leadership and staff.

**FACTOR 7- PURPOSE OF CONTACTS**

To obtain or supply information regarding compliance issues and resolution of audit findings.

**FACTOR 8- PHYSICAL DEMANDS**

The physical demands are typical of an office job.

**FACTOR 9- WORK ENVIRONMENT**

Work is performed in an office setting but does require off-site visits to agencies and departments.

**MINIMUM QUALIFICATION**

Master's degree preferably in Public or Business Administration, Accounting, Finance, or a related field from an accredited college or university, and a minimum of three (3) years professional experience working in compliance with familiarity of the federal grants process.