



## COMPLIANCE MANAGER

Jobcode: 050C  
Job Description  
May 28, 2012

### Position Summary

Perform highly responsible financial and operational compliance work involving examining, evaluating, measuring and auditing the effectiveness of accounting, financial and operating policies, procedures and controls on a District-wide basis and ensuring adherence to legal requirements.

### Reporting Relationship

Report to the Controller.

### Responsibilities

The essential functions include, but are not limited to, the following fundamental duties:

Research and identify legal requirements, statutory compliance issues (federal, state and local) and government reporting regulations relating to district finance and operations; work closely with district administration to ensure that district policies, procedures, practices and reporting are in compliance.

Design and implement programs, policies and internal control procedures to ensure that all district departments are in compliance with applicable financial and operational legal requirements and to ensure continued compliance.

Serve as a consultant to district staff on financial and operational compliance issues; provide training to staff on legal requirements and compliance procedures; provide expertise to departments or individual staff members as needed on accounting, financial and operational rules, policies and procedures to improve compliance.

Collect and analyze information relating to the reliability and integrity of financial and operating systems of the District to ensure that established systems are in compliance with plans, policies, procedures and regulations and to monitor the economy and efficiency with which resources are employed and whether established goals and objectives are being carried out as planned.

Prepare financial reviews of budgets, revenues and expenses.

Monitor accounting processing and procedures to ensure high quality financial services and records.

Review, interpret and evaluate financial transactions and documents for validity and compliance with legal and reporting requirements and District policies and practices; report discrepancies and irregularities to appropriate administrators.

## COMPLIANCE MANAGER

### Responsibilities (continued)

Develop and implement methods to audit the consistent application of district operational policies and procedures; review, interpret and analyze district operational information and reporting; report discrepancies and irregularities to appropriate administrators.

Review, verify and analyze financial and operational reporting; ensure that reports are providing transparent information.

Review and analyze district procedures and methods for safeguarding assets; verify the existence of the assets in some cases; ensure that procedures are in place for the recording of these assets.

Present findings relating to compliance with standards to administrators with the goal of improving the meeting of district financial and operational goals and objectives.

Develop and recommend corrective actions when non-compliance issues are discovered; supervise corrective actions taken by management to address compliance deficiencies and ensure that corrective actions are completed in a timely manner; follow-up as necessary to ensure continued compliance.

Investigate, or direct special investigations of, suspected or alleged misappropriation, other defalcation or irregularity; work with district legal counsel, the State Auditor's Office and/or the County Attorney as necessary in conducting the investigation; testify in court if criminal or civil charges are filed.

Plan, manage and participate in the completion of difficult and complex audits; conduct special audit examinations as requested by administration.

Assist Controller in planning, coordinating and supervising independent audits; supervise staff acting as the district liaison with the independent audit firm; assist the Controller in following up on corrective action plans.

Develop compliance reports, training materials or other related compliance documentation.

Supervise support staff in areas, including, but not limited to, Accounts Receivable, Accounts Payable, Compliance, Investments, Risk Management and Workers' Compensation.

Confer with federal, state and local governmental officials on regulatory matters relating to finances and district operations as necessary.

Contribute to the District's strategic plan efforts by partnering with other staff to contribute to student achievement and the alignment and sustainability of resources.

Perform special projects as assigned.

Perform other related duties as assigned.

## **COMPLIANCE MANAGER**

### **Knowledge, Skills, and Abilities**

Thorough knowledge of governmental auditing and accounting standards, ethics, procedures and techniques.

Thorough knowledge of financial examination procedures.

Thorough knowledge of the laws, rules and regulations relating to public sector accounting and finance and school district operations.

Considerable knowledge of the principles and practices of public administration.

Considerable knowledge of automated accounting and auditing systems

Working knowledge of business law and quantitative methods.

Considerable skill in interpreting financial and operational documents and verifying compliance with all regulatory requirements governing public sector activities.

Considerable ability to establish rapport with others and to interact effectively.

Considerable ability to communicate effectively, both orally and in writing.

Considerable ability to plan, organize and manage compliance functions.

Considerable ability to analyze information, detect irregularities and establish a plan of action.

### **Minimum Qualifications**

Bachelor's degree in accounting, finance or a related field and seven years of experience in general accounting, at least three of which must have been as an Accountant 3 or equivalent, at least two of which must have involved performing internal audit functions and at least two of which were in educational finance. No substitution for education.

### **Preferred and Highly Recommended Qualifications**

- Master's degree in accounting, business or public administration, economics, or related field.
- Operating knowledge of PeopleSoft Financial systems.
- A Certified Internal Auditor (CIA) or Certified Public Accountant (CPA) designation.