

# City and Borough Sitka, Alaska

## Class Specification

<b>Class Title</b>	<b>Compliance Officer</b>
<b>Class Code Number</b>	<b>2145</b>
<b>FLSA Designation</b>	<b>Exempt</b>
<b>Pay Grade and Range</b>	<b>33</b>
<b>Effective Date</b>	<b>September 1, 2020</b>

### General Statement of Duties

Under the direction of the Controller, the Compliance Officer develops compliance policies and procedures, and metrics to ensure the Municipality's business operations including, but not limited to, leasing, contracting, and procurement are performed in compliance with state and federal laws.

This position also serves as a Lease Accountant in accordance with Governmental Accounting Standards Board (GASB) bulletin 87 with complete responsibility for the development and oversight of acquisition and lease strategy through contract execution, contract administration and contract closeout.

### Distinguishing Features of the Class

The Compliance Officer is a single position job class which has a variety of tasks and areas of expertise, including but not limited to developing company policies, creating metrics to help track compliance, and performing compliance audits with respect to leasing, contracting, and procurement activities in a municipality. The Compliance Office is responsible for ensuring compliance with all applicable state and federal laws and regulations as added to and amended from time to time. The Compliance Officer does not directly supervise any other position but does provide oversight of work performed by other Municipal employees in the leasing, contracting, and procurement reporting any discrepancies to the Finance Director and the Municipal Administrator. The Compliance Officer also has responsibilities to work with employees, elected officials, and citizens to assist with understanding the requirements and processes involved in leasing, contracting, and procurement to ensure accuracy, accountability and avoid corruption.

The Compliance Officer works under minimal supervision and extensive leeway is granted for the exercise of independent judgment and initiative. The nature of the work performed requires that an employee in this class establish and maintain effective working relationships with other department and Municipal employees, Assembly members, media, Federal and State agencies, contractors, leasing agents, vendors and suppliers, and the public. The principal duties of this class are performed in a general office environment.

**Examples of Essential Work (Illustrative Only)**

- Develops leasing, contracting, and procurement policies and procedures in accordance with the Sitka General Code (SGC). Communicates/collaborates these policies with Departments to ensure compliance and mission success.
- Provides to Departments, approved leasing and contracting strategy to develop the solicitation documents including but not limited to, contract type, the pricing arrangements and incentives, set-aside considerations, subcontracting requirements, source selection plans including evaluation criteria, delivery schedules, security requirements, government property and other required terms and conditions.
- Guides Departments in developing solicitation documents, publication requirements, analyze offers received, prepare a negotiation position, evaluate technical and cost proposals, negotiate cost, fee or profit as well as resolve technical issues, and enters into a formal contract. Leads or participates on source selection team.
- Requires the program office/customer to conduct extensive and sophisticated cost and pricing analyses. Develops final price for negotiation position and participates as lead or member on the negotiating team ensuring a best value. Analyzes price and cost data contained in contractor's proposals to ascertain reasonableness of price. Performs cost and price analyses in connection with the request for approval of awards, leases, claims, price adjustments, terminations, price determination, escalation, changes orders, and any other pertinent data points. Evaluates prospective contractor's financial capability as part of pre-and post-award surveys when appropriate.
- Serves as the Municipal Business Advisor to Department Heads and employees providing guidance in all facets of the procurement process to include the development of the statement of work, requirements for competition, market research and request for information, past performance, preparation of evaluation criteria and safeguarding the interest of the City and Borough of Sitka in its contractual relationships, ensuring contractors receives impartial, fair, and equitable treatment, and the preparation of documentation in these areas.
- Educates employees responsible for procurement in each department in the requirements for the various business information technology systems used in the procurement process.
- Performs detailed contract administration activities. Responsibilities includes but are not limited to monitoring contractor performance through site visits, correspondence, e-mail, and telephone conversations to ensure successful completion of the contract in accordance with the established terms and conditions. Serves as the lead negotiator for contract changes that result in contract modifications.
- Provides audit information to management by researching and analyzing data; preparing reports.
- Perform compliance audits to determine whether established protocols are being followed and where they can be improved by using data from both internal and external sources. Make recommendations for compliance and improvement.
- Collect, coordinate, and communicate internal compliance data with auditors and various departments heads as appropriate.
- Provides administrative support by implementing systems, procedures, and policies; completing projects in support of compliance auditors. Maintain up to date written documentation and policies related to the organization's business activities.
- Enforces adherence to compliance policy and procedure requirements and advises management on needed actions.
- Create compliance resource library for use by Municipal employees
- Remain up to date on federal, state and local laws related to the organization and update policies accordingly
- Attends meetings, conferences, workshops, and training sessions, and reviews publications and audio-visual materials, to become and remain current on the principles, practices, and new developments in assigned work areas;
- Responds to all stakeholders in a courteous, and timely manner;
- Communicates and coordinates regularly with Department Heads and employees to maximize the effectiveness and efficiency of interdepartmental operations and activities.
- Performs other duties as assigned.

### Required Knowledge, Skills and Abilities

The Compliance Officer requires extensive knowledge of:

- Thorough knowledge of cost estimating techniques, including but not limited to learning curve, regression analysis, complex contractual arrangements, extensive fact finding.
- Thorough knowledge of municipal budgetary policies and procedures;
- Thorough knowledge of municipal protocols and best practices with regard to leasing, contracting, and procurement;
- Thorough knowledge of legal requirements with regard to leasing, contracting, and procurement under federal, state and local law;

The Compliance Officer requires the following skills:

- Strong skills to use critical thinking skills to explore new or innovative contracting approaches to arrive at an equitable contract arrangement that is fair and reasonable and in the best interest of the CBS;
- Strong analytical skills and ability to accurately interpret complex documents and policies
- Skills to negotiate complex leases and contracts using a variety of negotiations techniques;
- Skills to organize and prioritize multiple projects and tasks
- Skills to establish and follow time management and to meet deadlines

The Compliance Officer requires the following abilities:

- Ability to collaborate with a variety of individuals and be open to suggestions from team members
- Ability to communicate well with others, both orally and in writing, using both technical and non-technical language;
- Ability to understand and follow oral and/or written policies, procedures and instructions;
- Ability to prepare and present accurate and reliable written or data reports containing findings and recommendations;
- Ability to operate a personal computer using standard or customized software applications appropriate to assigned tasks;
- Ability to use logical and creative thought processes to develop solutions according to written specifications and/or oral instructions;
- Ability to perform a wide variety of duties and responsibilities with accuracy and speed under the pressure of time-sensitive deadlines;
- Ability and willingness to quickly learn and put to use new skills and knowledge brought about by rapidly changing information and/or technology;
- Ability to demonstrate integrity, ingenuity and inventiveness in the performance of assigned tasks.

### Acceptable Experience and Training

- Graduation from an accredited college or university with a Bachelor's degree or equivalent in Business Administration or Finance; and
- 5+ years prior experience in risk management or compliance roles, municipal contracting, and/or lease management; or
- Any equivalent combination of experience, education and training which provides the knowledge, skills and abilities necessary to perform the work.

### Required Special Qualifications

- Must have, or be willing to obtain, a compliance certification from either a State or Federal agency
- Ability to travel, as required and appropriate.

<b>Essential Physical Abilities</b>
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- Sufficient clarity of speech and hearing or other communication capabilities, with or without reasonable accommodation, which permits the employee to communicate well with other employees and the general public;
- Sufficient vision or other powers of observation, with or without reasonable accommodation, which permits the employee to use a computer screen and process numeric data;
- Sufficient manual dexterity with or without reasonable accommodation, which permits the employee to operate a computer keyboard and access files;
- Sufficient personal mobility and physical reflexes, with or without reasonable accommodation, which permits the employee to move about in an office environment.

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