

## CHIEF COMPLIANCE AND COLLEGE BUDGET OFFICER

### **DEFINITION**

Under administrative direction and oversight of the Vice President, Administrative Services, the Chief Compliance and College Budget Officer (CCCBO) ensures that the rules and regulations of local, county, state, and federal laws are followed properly and that the employees are handling transactional processing, reporting, and program requirements within the legal framework of being in compliance. Plans, organizes, manages, and provides recommendations and oversight for compliance and audit functions and activities within the Fiscal Services Department and the College. The CCCBO does not participate in any of the management decision process or accepts any responsibility in the execution of College activities. Coordinates with the Associate Vice President, Fiscal Services (AVPFS) in the development of policies and procedures related to fiscal operations, monitors all financial transactions and activity to maintain compliance, and develops the College budget and timelines. Coordinates through the AVPFS the assignment of support staff for assigned activities related to budgets and compliance. Coordinates through the AVPFS assigned activities with other College divisions, departments, outside agencies, and the public. Fosters cooperative working relationships among the College's divisions and departments; with intergovernmental and regulatory agencies; and with various public and private groups. Provides highly responsible and complex professional assistance to the Vice President, Administrative Services, in areas of compliance expertise. The CCCBO reviews management activities that include the design, implementation, and maintenance of a common infrastructure that minimizes risk of non-compliance. The CCCBO keeps the Vice President of Administrative Services apprised of any issue of risk, control, or management practice that may be of significance, as well as the annual budget processes and outcomes. This position is an overtime-exempt supervisory classification.

### **SUPERVISION RECEIVED AND EXERCISED**

The CCCBO receives administrative direction from the Vice President, Administrative Services, and has the responsibility to advise and provide for corrective action to ensure that strategies and practices are aligned and consistent with the College's objectives and governance policies. In this role the CCCBO complements and supports the AVPFS in staying compliant with various programs which include the integration of activities to effectively manage risk and compliance related activities. The work provides for a wide variety of independent decision-making within legal and general policy and regulatory guidelines. This position has the responsibility for conducting compliance reviews and coordinating external audits involving major financial programs so that the College can remain compliant in all areas of financial operations. The CCCBO works in conjunction with the AVPFS to recommend changes in practices and procedures on financial activity which involve implementation through coordination with the AVPFS, who is the Fiscal Services line administrator to manage staff, managers, and others in meeting compliance objectives.

### **CLASS CHARACTERISTICS**

This is a Department Head classification that oversees, directs, and participates in all compliance, audit activities, and budget of the Fiscal Services Department units and the College. This class works closely and in coordination with the AVPFS, including short- and long-term planning and the development of departmental policies and procedures. Also, in coordination and conjunction through the AVPFS, provides assistance to the Vice President, Administrative

Services, in a variety of coordinative, analytical, and liaison capacities including internal control issues and management practices that may be significant and do not meet compliance requirements. Also provides assistance to the Vice President, Administrative Services, in the planning, development, and implementation of budget policies and practices. Successful performance of the work requires knowledge of public policy and College functions and activities, and the ability to develop, oversee, and implement projects and programs in a variety of areas. Responsibilities include coordinating through the AVPFS the activities of the department with those of other departments and outside agencies and managing and overseeing the complex and varied functions of the department dealing with compliance and auditing objectives. The incumbent is accountable for accomplishing departmental planning and operational goals and objectives, for furthering College goals and objectives within general policy guidelines and recommends initiatives to maintain responsible stewardship and compliance for the College. This class is distinguished from the Vice President, Administrative Services, in that the latter is responsible for the overall management of all functions in the Administrative Services Division. This class is also distinguished from the AVPFS, who has line responsibility over staff in the Fiscal Services department. The CCCBO has direct responsibility to the Vice President, Administrative Services, to ensure that compliance, internal control, auditing, and budgeting functions are adhered to and ensure the College stays in compliance with local, state, and federal requirements.

### **EXAMPLES OF ESSENTIAL FUNCTIONS (Illustrative Only)**

1. The CCCBO provides independent oversight of the institutional fiscal program that promotes a culture of compliance and the highest standards of ethics, integrity, and responsibility within the College community. Although specific responsibility for a compliance item may rest with a manager, the CCCBO exercises oversight and monitoring to stay in compliance.
2. Recommends and monitors the implementation of new Government Accounting Standards Board (GASB) Statements (and other modified or new GASB/FASB Pronouncements).
3. Monitors compliance to maintain the Fiscal Independence status adhering to Education Code 85266, the Fiscal Independence Plan, and the accounting control standards prescribed by the Board of Governors of the Community College System. Has authority to follow advice of legal counsel in determining legal expenditures of the College. Works closely, and in conjunction with, the AVPFS and the Vice President, Administrative Services, in communicating new or modified compliance requirements.
4. Monitors compliance with the Public Works Contractor Registration Law.
5. Monitors the P-Card Program and ensures that proper controls and procedures are in place.
6. Monitors systems to ensure responsible fiscal stewardship of the College's general, special, and trust funds within legal and fiscal parameters.
7. Ensures compliance with federal, state, and local government accounting and financial transactional and reporting standards and controls for general, special funds, auxiliary, contracts, and grants; including the review and evaluation of mandated financial reports.
8. Oversees the College's annual financial audits; prepares management and discussion analysis in conjunction with the AVPFS; responds to audit findings and determines and implements corrective actions; oversees the College's Bond Financial Audit and Bond Performance Audit.
9. Coordinates with the AVPFS the development, preparation, review, and analysis of the College's budgets and related documents to ensure proper allocation, fund disbursement, and compliance with legal requirements; evaluates and projects actual revenues and expenditures to determine budget requirements, capital spending, contracts, and various

other expenditures; monitors expenditures to ensure compliance with budget established limitations.

- 10. Provides technical assistance to administrators and staff in ensuring smooth and efficient fiscal and budgetary functions and activities.
- 11. Coordinates internal and external audits by independent auditors, federal, and state agencies, and works with them and the AVPFS to resolve and address issues.
- 12. Represents the department to other College departments, elected officials, and outside agencies; explains and interprets departmental programs, policies, and activities; negotiates and resolves significant and controversial issues.
- 13. Monitors all financial aspects of the Bond Issuances and Capital Outlay Programs; works with the underwriters to prepare the preliminary Official Statements and the presentations to the rating agencies.
- 14. Provides compliance oversight for all construction programs with voter approved and other types of bonds to stay within the guidelines of bond parameters and applicable general accepted accounting principles.
- 15. Conducts a variety of compliance reviews involving departmental, organizational, and operational practices and processes; recommends modifications to programs, policies, and procedures as appropriate.
- 16. Examines the maintenance and enhancement of the payroll and finance applications of the College's enterprise application system to ensure system reliability, data integrity, and security controls.
- 17. Serves as a confidential point of contact for employees to communicate with management, seek clarification on issues, or report irregularities.
- 18. Participates in and make presentations to the Board of Trustees and a wide variety of committees, boards, and commissions, as appropriate.
- 19. Attends and participates in professional group meetings; stays abreast of new trends and innovations in the field of fiscal services, compliance, and audits as they relate to the area of assignment.
- 20. Monitors changes in laws, regulations, and technology that may affect the College or departmental compliance; recommends procedural changes as required.
- 21. Prepares, reviews, and presents reports, various management and information updates, and reports on special projects as assigned by the Vice President, Administrative Services.
- 22. Learns and applies emerging technologies, as necessary, to perform duties in an efficient, organized, and timely manner.
- 23. Keeps the Vice President, Administrative Services apprised of all sensitive issues involving irresponsible fiscal stewardship, fraud, embezzlement, and any other activity that may bring question to the College's fiscal integrity.
- 24. Establishes, implements, and fosters an environment of belonging as it relates to diversity, equity, inclusion, social justice, anti-racism, and accessibility (DEISAA).
- 25. Oversees, leads, and provides high-level customer service when interacting with the public, vendors, students, and College staff, including individuals from minoritized groups.
- 26. Utilizes critical thinking, decision-making, and problem-solving skills with tact, confidence, and diplomacy.
- 27. Implements, enforces, supports, and abides by federal, state, and local policies and Board Policies and Administrative Procedures.
- 28. Participates in and supports employee participation on committees, task forces, and special assignments, including, but not limited to, Screening and Selection Committees, mandated trainings, and DEISAA related trainings as required.
- 29. Prepares and delivers DEISAA-minded presentations related to assigned areas as required.

30. Performs other related duties as assigned.

## **QUALIFICATIONS**

### **Knowledge of:**

1. Principles and practices of supporting a DEISAA academic and work environment.
2. Administrative principles and practices, including goal setting, program development, implementation, evaluation, and supervision of staff, either directly or through subordinate levels of management and supervision.
3. Public agency budget development, College-wide administrative practices, and general principles of risk management related to the functions of the assigned area.
4. Organizational and management practices as applied to the analysis and evaluation of projects, programs, policies, procedures, and operational needs; and principles and practices of public agency administration.
5. Principles and practices of accounting, public finance administration and budgeting, auditing, and reconciliation.
6. Applicable federal, state, and local laws; regulatory codes; ordinances; and procedures relevant to assigned area of responsibility and the general financial operation.
7. Methods and techniques for the development of presentations, contract negotiations, business correspondence, and information distribution; research and reporting methods, techniques, and procedures.
8. Principles and procedures of record keeping, technical report writing, and preparation of correspondence and presentations.
9. Modern office practices, methods, and computer equipment and applications related to the work.
10. English usage, grammar, spelling, vocabulary, and punctuation.
11. Techniques for effectively representing the College in contacts with governmental agencies, community groups, and various business, professional, educational, and regulatory organizations.
12. Techniques for providing a high level of customer service by effectively dealing with the public, vendors, students, and College staff, including individuals of various ages, disabilities, socio-economic, and ethnic groups.
13. Thorough knowledge of the Banner system, accounting and budget principles and practice, and familiarity with financial and legal parameters governing community college finance, accounting, and systems.
14. Knowledge of the Los County Office of Education and California Community College Chancellor's Office requirements, regulations, and procedures.

### **Skills & Abilities to:**

1. Implement, advocate for, and communicate the College's vision and commitment to creating a DEISAA academic and work environment.
2. Oversee and address gaps in DEISAA in the recruitment and retention of faculty and staff.
3. Critical thinking and decision-making through observing, analyzing, inferring, communicating, and problem-solving in challenging situations with tact, confidence, and diplomacy.
4. Develop and implement goals, objectives, policies, procedures, work standards, and internal controls for the department and assigned program areas to promote effective compliance.
5. Provide professional leadership for the Fiscal Services Department and the College.

6. Prepare and administer large and complex budgets; allocate limited resources in a cost effective manner.
7. Interpret, apply, explain, and ensure compliance with applicable federal, state, and local policies, procedures, laws, and regulations. Research, analyze, and evaluate new service delivery methods, procedures, and techniques. Effectively administer special projects with contractual agreements and ensure compliance with stipulations.
8. Effectively represent the College in meetings with governmental agencies, contractors, vendors, and various businesses, professional, regulatory, and legislative organizations.
9. Prepare clear and concise reports, correspondence, policies, procedures, and other written materials.
10. Conduct complex research projects, evaluate alternatives, make sound recommendations, and prepare effective technical reports.
11. Prepare budget processes and timelines at the College level.
12. Establish and maintain a variety of filing, record keeping, and tracking systems.
13. Organize and prioritize a variety of projects and multiple tasks in an effective and timely manner; organize own work, set priorities, and meet critical time deadlines.
14. Operate modern office equipment including computer equipment and specialized software applications programs.
15. Use English effectively to communicate in person, over the telephone, and in writing.
16. Understand scope of authority in making independent decisions.
17. Review situations accurately and determine appropriate course of action using judgment according to established policies and procedures.
18. Establish, maintain, and foster positive and effective working relationships with those contacted in the course of work.

#### **Education and Experience:**

*Any combination of training and experience that would provide the required knowledge, skills, and abilities is qualifying. A typical way to obtain the required qualifications would be:*

1. Equivalent to graduation from a regionally accredited four-year college or university with major coursework in accounting, finance, or a related field; and
2. Five (5) years of management and/or administrative experience in finance and accounting in a fiscal services department.

A Certified Public Accountant designation in the State of California or Master's degree in finance, accounting, or related field is preferred.

#### **Desirable Qualifications:**

1. Proven track record of implementing or overseeing programs or policies relating to diversity, equity, inclusion, anti-racism, and accessibility, preferably in institutions serving minoritized populations such as Hispanic Serving Institutions (HSI) and Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI); OR
2. Proven track record of participating in programs relating to diversity, equity, inclusion, anti-racism, and accessibility, preferably in institutions serving minoritized populations such as Hispanic Serving Institution (HSI) and Asian American and Native American Pacific Islander-Serving Institutions (AANAPISI).

**Licenses and Certifications:**

Possession of, or ability to obtain, a valid California Driver's License by time of appointment.

**PHYSICAL DEMANDS**

This is primarily a sedentary office classification although standing and walking between work areas may be required. Must possess mobility to work in a standard office and classroom setting; operate a motor vehicle and to visit various on and off campus sites; vision to read printed materials and a computer screen; and hearing and speech to communicate in person and over the telephone. Finger dexterity is needed to access, enter, and retrieve data using a computer keyboard or calculator and to operate standard office equipment. Occasional bending, stooping, kneeling, reaching, pushing, and pulling. Ability to lift, carry, push, and pull materials and objects up to 20 pounds.

**ENVIRONMENTAL ELEMENTS**

Incumbents work in an office and classroom environment with moderate noise levels, controlled temperature conditions, and no direct exposure to hazardous physical substances. Incumbents may interact with upset staff, students, and/or the public in interpreting and enforcing departmental policies and procedures.

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