Position Summary

This summary describes the organization, duties, and requirements of a State of Michigan vacancy.

Position Code: AUDSPL2B74N

Civil Service Class and Level: Auditing Specialist-2

Working Title (What the agency calls the position): Compliance Officer

Name and Position Code Description of Direct Supervisor: SIMMER, BRANDON P; STATE ADMINISTRATIVE MANAGER-1

Department/Agency: LEO-LABOR AND ECON OPPORTUNITY

Bureau (Institution, Board, or Commission): Administrative Services

Division: Internal Controls

Section: Grants Compliance

Work Location (City and Address)/Hours of Work: 320 S WALNUT ST; LANSING, MI 48933 / Monday-Friday 8:00AM-5:00PM

General Summary of Function/Purpose of Position: This Auditing Specialist position serves as a Compliance Officer and is responsible for various functions aimed at strengthening the Department of Labor and Economic Opportunity's (LEO) internal control structure; primary of which is to serve as designated specialist for monitoring federally funded grants administered through LEO's Administrative Services Bureau, Grants Division for compliance with its applicable guiding regulations. The position reviews and assesses grantee's compliance with the terms of the grant agreement including statement of work, financial reporting requirements, performance reporting requirements, and other key provisions. Monitoring activities are accomplished by conducting on-site and/or desk reviews and preparing draft reports for the Grant Compliance Manager's review and issuance. This individual also tracks the status of grantee responses to reports, status of proposed corrective action, and conducts follow-up monitoring (as needed). Additionally, this position serves as the backup Compliance Officer for state funded grants.
LEO Administrative Services is required to monitor grant recipients, and applicable service providers, for compliance with the fiscal and administrative requirements set forth by the Federal Office of Management and Budget circulars, as well as other Federal and state laws and regulations, including compliance with the Single Audit Act. This position will be a primary point of contact for the grant recipients and their service providers, including the provision of technical assistance regarding compliance. The position is also responsible for initiating debt collection, as necessary, and conducting special reviews or investigations as a result of complaints, allegations, or audits.

Assigned duties and tasks for each duty.

Duty 1: Conducts on-site, and/or desk, compliance reviews of Federally funded grants administered through LEO Bureau of Administrative Services, Grants Division including compliance with the Single Audit Act. Each grant has its own unique fiscal/administrative procedures and systems; this senior-level position must exercise considerable independent judgment in selecting a proper course of action. The use of high-functioning organizational skills will be required to determine the appropriate action needed to accomplish these tasks within the designated timeframe. Diplomacy and tact are necessary to maintain favorable public relations.

- Schedule and conduct on-site visits and/or desk reviews with grantees.
- Develop a comprehensive understanding of the financial and administrative structures of the entities monitored.
- Collect data, evaluate documents, and apply information gathered through interviews to determine eligibility and/or compliance with program requirements.
- Determine acceptability and effectiveness of fiscal/administrative documents, procedures, or applications and recommend what action to take.
- Assist entities in accessing compliance information and requirements from Federal resources.
- Gather and organize all compliance review documentation for analysis and conclusion.
- Independent research, prepare written opinions on legislation and policies, provide training and technical assistance to grantees and contractors.
- Analyze, research, and interpret Federal and state rules and regulations.
- Maintain a thorough knowledge and understanding of the governing Federal and state rules and regulations.
- Provide technical assistance to grant recipients and their service providers.

Duty 2: Analyzes and synthesizes monitoring results and consolidates data for: (1) preparation of a formal report of findings which includes corrective action and recommendations for improvements of grant recipient management controls, systems, and procedures to resolve a variety of issues; and (2) identification of issues and assistance in development of recommendations for departmental policies and procedures.

- Analyze monitoring documents for compliance findings, issues, and/or areas of improvement.
- Formally document compliance findings, issues, and/or areas of improvement within a Compliance Monitoring Report.
- Work collaboratively with LEO Grant Compliance Manager to finalize and issue formal Compliance Monitoring Report.
- Track grantee reviews, reports, responses, status of corrective action(s) and follow-up, as appropriate
- Report writing, computer use, and consulting with other division staff.
- Follow appropriate methods and established procedures for field work and/or desk reviews.

Duty 3: Serve as the backup Compliance Officer to conduct on-site, and/or desk, compliance reviews of state funded grants administered through LEO Bureau of Administrative Services, Grants Division.

- Schedule and conduct on-site visits and/or desk reviews with grantees.
- Develop a comprehensive understanding of the financial and administrative structures of the entities monitored.
- Collect data, evaluate documents, and apply information gathered through interviews to determine eligibility and/or compliance with program requirements.
- Determine acceptability and effectiveness of fiscal/administrative documents, procedures, or applications and recommend what action to take.
- Assist entities in accessing compliance information and requirements from state resources.
- Gather and organize all compliance review documentation for analysis and conclusion.
- Independent research, prepare written opinions on legislation and policies, provide training and technical assistance to grantees and contractors.
- Analyze, research, and interpret Federal and state rules and regulations.
- Maintain a thorough knowledge and understanding of the governing state rules and regulations.
- Provide technical assistance to grant recipients and their service providers.

Duty 4: Conduct follow-up monitoring of corrective action efforts and documentation as the result of deficiencies identified in Federal grant monitoring and/or Single Audits. Determine acceptability and effectiveness of corrective actions and prepare official reports of follow up. Results will be documented and tracked.

- Track the status of proposed corrective actions to ensure timely implementation.
- Develop a plan for conducting testing including the identification of the criteria, standard or threshold to use as a benchmark for determining resolution of the finding and/or recommendation.
- Reviewing, interpreting regulations, interviewing, and evaluating responses.
- Conduct and document the process.
- Report on the conclusions of the process.
- Conduct follow-up of unresolved issues, if applicable, and recommend corrective action.

Duty 5: Conduct and collaborate on Special Projects and Investigations. Provide technical expertise and research on issues related to federal compliance requirements.

- Perform various special projects as requested by LEO Executive Management and/or Bureau Management to review efficiency and effectiveness of department and/or bureau operations.
- Assist in audits, investigations, or reviews of suspected theft, fraud, or misuse of assets.
- Conduct data analysis, interviews, and research activities to detect instances of fraud and collect supporting evidence for potential adjudication and/or settlement.
- Advise LEO management on ways to improve and maintain confidentiality, integrity, and availability of State resources.
- Research issues related to compliance with federal program requirements, especially in relation to audit and monitoring review findings.
- Review the department's subrecipient compliance monitoring policies and practices. Provide technical expertise in relation to meeting 2 CFR Part 200 compliance standards.

Duty 6: Other Administrative duties, as assigned.

- Assisting the Audit Compliance section with high-volume activities, if requested
- Assisting the Grants Compliance Manager with designing monitoring instruments, and determining appropriate methods for review and evaluation.
- Collaborating with the Legal Officer regarding high-priority department compliance concerns
- Research topics related to applicable state and Federal laws and regulations, and policies of other bureaus, departments and agencies that impact compliance.
- Represent the Compliance Section at meetings and/or committees.
- Functional skills training(s).

- Participate in annual performance evaluations on NeoGov or other prescribed methodology.
- Entering time and travel expenses on SIGMA or other prescribed methodology.
- Participating in training and continuous professional development.
- Annual disclosures of conflicts of interest and supplemental employment.
- Other administrative duties as assigned.

Types of decisions made independently and whom or what those decisions affect: This position develops guidelines for compliance reviews, monitoring reviews, and investigations. The position must review complex and varied systems in the absence of specific procedures and determine whether these systems meet Federal standards. Decisions are based on interpretations of Federal and state regulations. The auditing specialist's decisions affect the nature, scope, and steps of the audit.

Types of decisions that require the supervisor's review: Preliminary findings and issues are presented to supervisor for review and determination prior to communicating and/or reporting externally including any decision regarding the disallowance of Federal or state funds.

Physical effort used to perform this job and environmental conditions of this position: The majority of the work is performed in an office setting. The office setting mainly consists of sitting and typing for long periods of time in normal physical conditions. Occasionally both the official work location and field work locations may include physical activity, such as standing, stooping, crouching, reaching, lifting boxes/reference materials/equipment, carrying boxes/reference materials/equipment, walking, and bending, as well as physical conditions that may include cold, heat, noise, dust, odors, etc. Note: Travel throughout the State may be required, including overnight and/or in unfavorable weather condition. Travel outside normal business hours, may also be necessary.

The essential functions of this position: This Auditing Specialist position serves as a Compliance Officer and is responsible for various functions aimed at strengthening the Department of Labor and Economic Opportunity's (LEO) internal control structure; primary of which is to service as designated specialist for monitoring Federally funded grants administered through LEO's Administrative Services Bureau, Grants Division for compliance with its applicable guiding regulations. The position reviews and assesses grantee's compliance with the terms of the grant agreement including statement of work, financial reporting requirements, performance reporting requirements, and other key provisions. Monitoring activities are accomplished by conducting on-site and/or desk reviews and preparing draft reports for the Grant Compliance Manager's review and issuance. This individual also tracks the status of grantee responses to reports, status of proposed corrective action, and conducts follow-up monitoring (as needed).

The function of the position's work area and how it fits into that function: The Grants Compliance Section is responsible for ensuring the ongoing soundness of LEO's internal control structure by monitoring Federal and state funded programs administered through LEO's Bureau of Administrative Services for compliance. This position serves as a Compliance Officer and is the specialist responsible for monitoring Federally funded programs administered through LEO's Bureau of Administrative Services for compliance.

Minimum education, experience, and credentials typically needed to perform the position's essential functions:

EDUCATION:
Possession of a bachelor's degree with at least 24 semester (36 term) credits in accounting.

EXPERIENCE:

Auditing Specialist 13
Four years of professional experience equivalent to an Auditor, including two years equivalent to an Auditor P11 or Assistant Auditor General P11, or one year equivalent to an Auditor 12 or Assistant Auditor General 12.

Alternate Education and Experience

Auditing Specialist 13
Possession of a Certificate in Public Accounting (CPA) may be substituted for one year of P11 experience.

Possession of a Certified Management Accountant certification (CMA) may be substituted for six months of P11 experience.

Possession of a Certified Internal Auditor certification or a Certified Information System Auditor certification may be substituted for one year of experience at the P11 level for positions responsible for internal auditing.

Possession of a bachelor's degree with 24 semester credits (36 term) in finance, information systems, or management may be substituted for the education for positions responsible for internal auditing.

KNOWLEDGE, SKILLS, AND ABILITIES:

- Knowledge of Federal laws, regulations, administrative policies and procedures.
- Knowledge of the statutes, rules, and regulations applicable to State agencies.
- Knowledge of fiscal and program planning and budgeting.
- Knowledge of generally accepted professional accounting and auditing principles and practices.
- Knowledge of governmental accounting standards.
- Excellent verbal and written communications skills.
- Demonstrated skill with resolving financial, administrative, and operational problems.
- Demonstrated skills in dealing with a variety of groups using tact and diplomacy.
- Ability to analyze, synthesize, and evaluate a variety of financial data.
- Ability to quickly assimilate a variety of oral and written data to analyze facts and draw logical conclusions.

CERTIFICATES, LICENSES, REGISTRATIONS:

Valid Driver's License

Preferred: Certified Public Accountant (CPA) or Certified Internal Auditor (CIA)

Also preferred: Certification in Control Self-Assessment (CCSA) or Certified Fraud Examiner (CFE)