State of Michigan
Civil Service Commission

Capitol Commons Center, P.O. Box 30002
Lansing, MI 48909

Position Code
1. SENEXDIR

POSITION DESCRIPTION

This position description serves as the official classification document of record for this position. Please complete the information as accurately as you can as the position description is used to determine the proper classification of the position.

2. Employee's Name (Last, First, M.I.)	**8. Department/Agency** DTMB-CHIEF COMPLIANCE OFF
3. Employee Identification Number	**9. Bureau (Institution, Board, or Commission)** Michigan Strategic Fund
4. Civil Service Position Code Description Senior Executive Assistant Dir	**10. Division**
5. Working Title (What the agency calls the position) Chief Compliance Officer	**11. Section**
6. Name and Position Code Description of Direct Supervisor STATE ADMINISTRATIVE BOARD	**12. Unit**
7. Name and Position Code Description of Second Level Supervisor BUHS, CALEB; SENIOR CHIEF DEPUTY DIRECTOR	**13. Work Location (City and Address)/Hours of Work** Lansing, MI 48913 / M-F 8-5 as required to fulfill statutory duties

14. General Summary of Function/Purpose of Position

The Office of the Chief Compliance Officer (CCO) was created by Public Act 225 of 2005 as an autonomous entity within the Michigan Strategic Fund. The CCO reports directly to the State Administrative Board. The CCO's primary function is to assist the MSF board with the creation, implementation, monitoring, and enforcement of policies and procedures to prevent illegal, unethical, or improper conduct of MSF board members, commercialization board members, and employees or agents of the MSF board and commercialization board. This includes recommending conflict of interest, investment, and ethics policies.

15. Please describe the assigned duties, percent of time spent performing each duty, and what is done to complete each duty.

List the duties from most important to least important. The total percentage of all duties performed must equal 100 percent.

Duty 1

General Summary: **Percentage:** **15**

Recommend policies and procedures, including, but not limited to, a conflict of interest policy, an investment policy, and an ethics policy to the Board of Directors of the Michigan Strategic Fund (MSF) and the Strategic Economic Investment and Commercialization Board to protect the state's assets consistent with the requirements of applicable state law.

Individual tasks related to the duty:

- Research, review, and analyze requirements imposed on the MSF by state law.
- Research, review, and analyze requirements imposed by other state and federal law and constitution relating to public finance, fiduciary duties, investments, securities, and conflicts of interest.
- Research, review, and analyze existing policies of the MSF and the Strategic Economic Investment and Commercialization Board.
- Recommend and assist in the design of policies and procedures to the MSF and the Strategic Economic Investment and Commercialization Board to prevent violations from occurring, detect violations that have occurred, and correct such violations promptly.
- Monitor and regularly review compliance with and effectiveness of policies and procedures of the MSF and the Strategic Economic Investment and Commercialization Board for improvement.
- Participate in the development of policies and procedures by the MSF Board of Directors and the Strategic Economic Investment and Commercialization Board.
- Document and retain recommendations made and responses received.

Duty 2

General Summary: **Percentage:** **30**

Provide guidance recommendations, and assistance to the MSF Board of Directors, the Strategic Economic Investment and Commercialization Board, and the employees and agents of the MSF and the Strategic Economic Investment and Commercialization Board on matters relating to internal policies and procedures and to ensure compliance with applicable state and federal law and on the appropriate evaluation, investigation, and resolution of issues and concerns regarding compliance with internal policies and procedures and with applicable state and federal law.

Individual tasks related to the duty:

- Develop and request the opinion of the Attorney General on questions of law as necessary to fulfill the duties of the Chief Compliance Officer.
- In conjunction with legal counsel, review and report on legal opinions and special problems on compliance issues of significance and importance to the MSF and the Strategic Economic Investment and Commercialization Board.
- In conjunction with legal counsel, approve the form and legality of contracts and other documents relating to the policies and procedures of the MSF and the Strategic Economic Investment and Commercialization Board and on compliance with applicable state and federal law.
- In conjunction with legal counsel, advise the MSF and the Strategic Economic Investment and Commercialization Board on the construction of statutes and enforcement procedures.
- Perform or supervise the provision of training or other educational materials for members of the MSF Board of Directors, the Strategic Economic Investment and Commercialization Board, and the employees or agents of the MSF Board of Directors and the Strategic Economic Investment and Commercialization Board.
- Contact persons receiving awards, investments, grants, and loans to the extent necessary to carry out responsibilities under applicable state law.

- Work in conjunction with the Attorney General, state departments, state agencies, committees, commissioners, or officers of this state, the MEDC, and any political subdivisions of this state in the development of policies and procedures to ensure compliance with legal requirements.

- Conduct independent reviews of the programs and activities of the MSF and the Strategic Economic Investment and Commercialization Board and recommend solutions when issues arise that are inconsistent with policies and procedures and applicable laws or as necessary to prevent fraudulent activity.

- Document and retain guidance and assistance provided and response to guidance and assistance provided.

Duty 3

General Summary: **Percentage:** **30**

Review and evaluate compliance with internal policies and procedures and with applicable state and federal law

Individual tasks related to the duty:

- Monitor, review, analyze, and evaluate compliance with internal policies and procedures of the MSF, the Strategic Economic Investment and Commercialization Board, and the employees and agents of the MSF and the Strategic Economic Investment and Commercialization Board.
- Communicate with and secure information as necessary from all departments, state agencies, committees, commissioners, or officers of this state, the MEDC, and any political subdivision of this state, so far as is compatible with or necessary for the performance of the duties of the Chief Compliance Officer. '
- Document and retain records of reviews and evaluations conducted.

Duty 4

General Summary: **Percentage:** **10**

Report on the compliance with internal policies and procedures and with applicable state law, compliance matters, and suggested revisions to agency policies and procedures.

Individual tasks related to the duty:

- Prepare quarterly report to the MSF Board of Directors and State Administrative Board of the Michigan Strategic Fund regarding compliance with internal policies and procedures and with applicable state and federal law.
- Prepare a written annual report that evaluates compliance with internal policies and procedures and with applicable state and federal law, explains any compliance matters arising during the prior year, and suggests revisions to MSF policies and procedures.
- Cooperate with the Office of the Auditor General as the auditor general carries out his or her duties.
- Prepare and provide information and testimony to the State Administrative Board as required by the board or its chair.
- Prepare and provide information and testimony to legislative committees as required.

Duty 5

General Summary: **Percentage:** **15**

Other duties as assigned

Individual tasks related to the duty:

16. Describe the types of decisions made independently in this position and tell who or what is affected by those decisions.

By law, the Office of the Chief Compliance Officer must exercise its powers and duties, including decision-making, independently of the MSF. Decisions of the Chief Compliance Officer will affect the conduct of governmental functions and business by the MSF, the Strategic Economic Investment and Commercialization Board, and the employees and agents of the two boards.

17. Describe the types of decisions that require the supervisor's review.

The decisions made by the Chief Compliance Officer are not subject to a supervisor's review. The Chief Compliance Officer is the head of the Office of the Chief Compliance Officer, which by law operates independently of the Michigan Strategic Fund.

18. What kind of physical effort is used to perform this job? What environmental conditions in this position physically exposed to on the job? Indicate the amount of time and intensity of each activity and condition. Refer to instructions.

Normal office working conditions. Job will require flexibility with regard to work hours and requirements to assure compliance with statutory duties. Some travel to monitor recipients of grants, loans, and investments may be required.

19. List the names and position code descriptions of each classified employee whom this position immediately supervises or oversees on a full-time, on-going basis.

Additional Subordinates

20. This position's responsibilities for the above-listed employees includes the following (check as many as apply):

N	Complete and sign service ratings.	N	Assign work.
N	Provide formal written counseling.	N	Approve work.
N	Approve leave requests.	N	Review work.
N	Approve time and attendance.	N	Provide guidance on work methods.
N	Orally reprimand.	N	Train employees in the work.

22. Do you agree with the responses for items 1 through 20? If not, which items do you disagree with and why?

Yes.

23. What are the essential functions of this position?

The office of the Chief Compliance Officer was created by state law, but exercises its powers and duties independently of the Michigan Strategic Fund. The Chief Compliance Officer assists the MSF with the creation, implementation, monitoring, and enforcement of policies and procedures to prevent illegal, unethical, or improper conduct on the part of members of the MSF Board of Directors , the Strategic Economic Investment and Commercialization Board, and the employees or agents of the boards.

24. Indicate specifically how the position's duties and responsibilities have changed since the position was last reviewed.

New classification.

25. What is the function of the work area and how does this position fit into that function?

The function of the work area is to monitor compliance by state officials.

26. What are the minimum education and experience qualifications needed to perform the essential functions of this position.

EDUCATION:

Possession of a bachelor's degree in any major.

EXPERIENCE:

Senior Executive Assistant (Deputy Director) 15, Senior Executive Assistant (Director) 16
Two years of professional, P11-level experience or one year of professional 12-level experience as a senior-level worker, a manager, or a staff/program specialist (includes administrative assistant) or equivalent.

KNOWLEDGE, SKILLS, AND ABILITIES:

Knowledge of the principles and techniques of administrative management including organization, planning, staffing, training, budgeting, and reporting.
Knowledge of and ability to analyze business records including bank and accounting records and spreadsheets.
Knowledge of legal research procedures.
Ability to communicate effectively.
Ability to use judgment, tact, and discretion.
Ability to assimilate quickly oral and written data, to analyze facts, and draw logical conclusions.
Ability to maintain records and prepare reports and correspondence related to the duties of the Office of the Chief Compliance Officer.
Ability to effectively appear before and present information to state boards, legislative committees, or other similar governmental bodies or officials.
Ability to work independently and manage sensitive information.
Ability to manage and carry out multiple and complex assignments often with short time frames.
Ability to resolve governmental ethics issues.
Ability to understand or evaluate complex financial processes or schemes.

CERTIFICATES, LICENSES, REGISTRATIONS:

None

NOTE: Civil Service approval does not constitute agreement with or acceptance of the desired qualifications of this position.

I certify that the information presented in this position description provides a complete and accurate depiction of the duties and responsibilities assigned to this position.

Supervisor | **Date**

TO BE FILLED OUT BY APPOINTING AUTHORITY

Indicate any exceptions or additions to the statements of employee or supervisors.

None

I certify that the entries on these pages are accurate and complete.

CATHERINE LANE | 10/20/2026

Appointing Authority | **Date**

I certify that the information presented in this position description provides a complete and accurate depiction of the duties and responsibilities assigned to this position.

Employee | **Date**