

DUTY STATEMENT

		EFFECTIVE DATE
BRANCH Financial Services Branch		POSITION NUMBER (Agency – Unit – Class – Serial) 815 - 108 - 4800 - 901
DIVISION/UNIT Enterprise Compliance Services		CLASS TITLE Staff Services Manager I (Supervisor)
INCUMBENT NAME Vacant		WORKING TITLE Enterprise Compliance Risk Supervisor
CalSTRS is dedicated to securing the financial future and sustaining the trust of California’s educators through customer service, accountability, leadership, strength, trust, respect, and stewardship.		
Under the general direction of the Staff Service Manager (SSM) II, the SSM I will serve as the Enterprise Compliance Risk Supervisor and is responsible for the day-to-day operations of the compliance program. The incumbent will work in partnership with Enterprise Risk Management, Quality Assurance, and leadership across the organization.		
% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first.	
30%	ESSENTIAL FUNCTIONS Develop, implement, and manage a comprehensive compliance monitoring program to ensure the organization’s compliance with applicable laws, rules, regulations, etc. in relation to business policies and procedures, including review proposed and existing policies and procedures; identify and document applicable policy authorities; establish and conduct regular compliance testing; and make recommendations to mitigate risk. Develop an annual project plan that includes the compliance monitoring program’s objectives and scope, existing policies and procedures, and potential risks. Communicate compliance monitoring results to relevant stakeholders and various other business areas. Maintain ongoing communication with applicable parties, such as stakeholders, business areas, and CalSTRS leadership, regarding compliance monitoring results and initiatives, including project updates and changes to the Enterprise Compliance Services policies and procedures manual. Collaborate with aligned assurance partners and various other business areas to ensure consistency in management of the compliance risks and adherence to compliance requirements.	
20%	Manage and direct team activities, projects, and assignments. Organize and facilitate regular staff and one-on-one meetings. Ensure analysts are effectively and efficiently executing compliance initiatives. Build staff competencies and provide ongoing coaching, guidance, and training, including timely delivery of performance evaluations. Recruit, onboard, and train new staff.	
15%	Assist in the annual risk assessment process, including facilitating compliance risk interviews, quantifying compliance risks, and identifying internal controls to address compliance risks. Develop and implement organization-wide compliance related policies and procedures and communication and training strategies for the organization based on survey results and compliance risk assessment findings.	
10%	Work with Government Affairs to ensure new or updated laws and regulations are communicated to the Enterprise Compliance Services unit. Coordinate and collaborate with staff to develop multiple types of communication strategies on appropriate regulatory requirements and participate in various implementation meetings. Conduct extensive research to verify compliance risk assessment processes align with current and new legislation. Advise leadership of new laws or regulations and potential impacts. Propose policy clarification and collaborate with business areas to address necessary compliance.	
10%	Oversee the annual policy review and acknowledgement process, including reporting progress, escalating noncompliance, and working directly with Office of Legal Ethics and Accountability for Board attestation. In collaboration with Compliance team leadership support the annual review of the CalSTRS’ Code of Ethics and Business Conduct. Facilitate efforts with various stakeholders to ensure code is benchmarked with industry standards. Provide training and presentations to ensure awareness of ethical and compliant culture throughout CalSTRS.	
10%	Incorporate the use of electronic data processing tools when performing monitoring activities. Serve as the business lead for the Governance Risk and Compliance (GRC) tool development and implementation, including project planning, compliance, and policy design. Partner with various stakeholders to understand business needs and manage technology acceptance across the organization.	
MARGINAL FUNCTIONS		

815-108-4800-901

5%

May act on behalf of the Staff Services Manager II in their absence. Represent the unit in leadership meetings, etc. Propose and develop budget change proposal documents, when necessary. Support and assist the External Risk Compliance Specialist as needed.

COMPETENCIES

Core Competencies. All employees are responsible for understanding and demonstrating CalSTRS' core competencies:

- Adaptability/Flexibility
- Communication
- Customer/Client Focus
- Teamwork
- Work Standards/Quality Orientation

Classification Competencies. All employees are expected to understand and demonstrate their position's CalSTRS class competencies:

- Change Leadership
- Conflict Management
- Decision Making
- Developing Others
- Empowering Others
- Ethics and Integrity
- Managing Work
- Planning and Organizing
- Risk Management
- Team Leadership
- Vision and Strategic Thinking

CONDUCT AND ATTENDANCE EXPECTATIONS

- Communicate effectively with individuals from varied experiences, perspectives and backgrounds
- Deal with individuals in a tactful, congenial, personable manner
- Must maintain consistent and regular attendance
- Adhere to CalSTRS policies and procedures
- Ability to support and model CalSTRS Core Values

WORKING CONDITIONS AND PHYSICAL ABILITIES REQUIRED OF THE JOB

- Occasional overnight in and out of state travel may be required for training, meetings and presentations
- Prolonged periods of standing or sitting
- Work in a high-rise building, in an open space environment
- Ability to use a computer keyboard several hours a day
- Read from computer screens several hours a day
- Ability to move up to 10 pounds

Responsible for promoting a safe and secure work environment free from discrimination, harassment, inappropriate conduct, or retaliation by adhering to CalSTRS' policies and processes. Responsible for participating in mandated HR or EEO training workshops (i.e. Sexual Harassment, EEO, etc.).

To be reviewed and signed by the supervisor and employee:

SUPERVISOR'S STATEMENT:

- I HAVE DISCUSSED THE DUTIES AND RESPONSIBILITIES OF THE POSITION WITH THE EMPLOYEE
- I HAVE SIGNED AND RECEIVED A COPY OF THE DUTY STATEMENT

SUPERVISOR'S NAME (Print)

SUPERVISOR'S SIGNATURE

DATE SIGNED

EMPLOYEE'S STATEMENT:

- I HAVE DISCUSSED THE DUTIES AND RESPONSIBILITIES OF THE POSITION WITH MY SUPERVISOR
- I HAVE SIGNED AND RECEIVED A COPY OF THE DUTY STATEMENT
- I AM ABLE TO PERFORM THE ESSENTIAL FUNCTIONS LISTED WITH OR WITHOUT REASONABLE ACCOMMODATION
- I UNDERSTAND THAT I MAY BE ASKED TO PERFORM OTHER DUTIES AS ASSIGNED WITHIN MY CURRENT CLASSIFICATION, INCLUDING WORK IN OTHER FUNCTIONAL AREAS AS BUSINESS NEEDS REQUIRE

EMPLOYEE'S NAME (Print)

EMPLOYEE'S SIGNATURE

DATE SIGNED