



HOW WILL YOU SPEND YOUR FUTURE?

PROPOSED

CURRENT

DUTY STATEMENT

		EFFECTIVE DATE
BRANCH Financial Services Branch	POSITION NUMBER (Agency – Unit – Class – Serial) 815 - 108 - 5393 - 901	
DIVISION/UNIT Enterprise Risk Management & Compliance Services/Enterprise Compliance Services	CLASS TITLE Analyst II	
INCUMBENT NAME Vacant	WORKING TITLE Compliance Analyst	
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 direction of the Enterprise Compliance Services Senior Manager, the Analyst II is independently responsible for performing a variety of complex analytical assignments and projects that support CalSTRS’ Enterprise Compliance Services (ECS) program activities. In addition, it is tasked with analyzing and effectively executing compliance initiatives, as outlined in the compliance plan.		
% 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.	
	ESSENTIAL FUNCTIONS	
30%	Independently coordinate and administer the Policy Acknowledgment process for new-hire employees, proactively monitoring onboarding status, tracking and ensuring completion of all required acknowledgments, and escalating issues as needed. Maintain a confidential repository of acknowledgment records and develop periodic and ad-hoc status reports for Compliance management, collaborating with General Counsel’s office and Human Resources as needed to ensure process efficiency. Maintaining process procedures, workflows on a regular basis.	
20%	Assist in the compliance risk assessment process and development of the compliance plan. Implement compliance monitoring methodologies over various high-risk functions. Identify and assess legislative and regulatory requirements and controls to develop compliance monitoring programs over organizational policies. Incorporate the use of electronic data processing tools when performing monitoring activities. Identify compliance objectives and scope of monitoring; develop a project plan and identify and assess existing policies and controls that could impact the plan. Execute compliance testing; analyze, organize, and synthesize information into well supported monitoring observations and provide findings and recommendations to business area management and senior leadership. Communicate results to relevant stakeholders.	
15%	Contribute to the development of an effective, ongoing ethical and compliance training plan and compliance and ethics communication campaigns. Assist supervisors in compliance training, presentations, and communication strategies; ensuring staff understand and proactively practice awareness of ethical and compliance culture. Design and present training programs to internal stakeholders, to create awareness and understanding of compliance and ethical issues and findings. Develop feedback mechanisms to ensure employees understand training and can apply lessons to daily workload. Develop aids for employees and reinforce objectives and messages from the training. Review and update trainings on a regular basis.	
10%	Provide back-up support enterprise policy management workflow. Review and update existing enterprise-wide policies on an annual basis and ensure they align with new or updated laws and regulations; provide recommendations to supervisors and implement them accordingly. Lead and collaborate with business partners to create enterprise-wide policies; ensure policies follow the minimum template requirements. Upload approved policies and maintain the Epicenter. Develop agency wide communication strategies on new or significant changes to existing policies. Develop and maintain policy tracking.	
10%	Provide administrative support in the Service Organizational Control (SOC) report and third-party vendor risk assessment processes. Contribute to policies and procedures and training that support SOC reporting and analysis. Provide administrative support for the CalSTRS Compliance and ethics hotline for all staff onboarding.	

10%	Incorporate the use of electronic data processing tools when performing compliance activities. Assist compliance management with the Governance Risk and Compliance (GRC) tool including data mining, reconciliation, and processing reports.
5%	<p>MARGINAL FUNCTIONS</p> <p>Participate in internal workgroups, cross functional and enterprise-wide teams, as assigned. Prepare, participate, and document meeting notes for ECS meetings, Risk Champion Network and other key stakeholder meetings.</p>

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 located in the [Competency Guide](#) on Central.

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
- Support and model CalSTRS Core Values

WORKING CONDITIONS AND PHYSICAL ABILITIES REQUIRED OF THE JOB

- 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
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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
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