



**DUTCHESS COUNTY  
CLASS SPECIFICATION**

**Corporate Compliance Officer**

DATE ADOPTED: 12/19/2024

LAST REVISION:

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**DISTINGUISHING FEATURES OF THE CLASS:**

This is an administrative position responsible for the development, implementation, maintenance and auditing of the County's Corporate Compliance Plan. The incumbent will work to ensure compliance with the various laws, regulations, and standards for which the County is required to adhere. The work involves formulating policy; prescribing a training program for employees, contractors or their agents; identifying areas of noncompliance; creating solutions and/or corrective action(s); and ensuring proper tracking and recordkeeping. The incumbent coordinates with the County Executive's Office to develop improvement plans and provides periodic reports to the Compliance Committee. Work is performed under the general direction of the Chief of Staff, with a wide latitude allowed for the use of independent judgment. Direct and general supervision may be exercised over the work of lower-level support personnel.

**TYPICAL WORK ACTIVITIES:**

The following is indicative of the level and types of activities performed by incumbents in this title. It is not meant to be all inclusive and does not preclude a supervisor from assigning activities not listed which could reasonably be expected to be performed by an employee in this title.

1. Develops and monitors the Dutchess County Corporate Compliance Program and conducts routine audits to evaluate processes to ensure compliance with standards and policies, identify weaknesses, trends, and overall effectiveness, and recommends methods to improve efficiency and quality of services to reduce vulnerability to fraud, abuse, waste or misconduct;
2. Develops and implements a compliance work plan which outlines the County's proposed strategy for meeting its compliance requirements;
3. Reports periodically to the County Executive, or their designee, and the Compliance Committee regarding the effectiveness of the plan, processes and policies and any actions taken for noncompliance or improvement;
4. Assists in establishing methods to improve the efficiency and quality of services of programs, and reducing vulnerability to fraud, waste, and abuse;
5. Develops and implements sound internal controls, processes and policies designed to ensure compliance with applicable Federal, State and local laws, rules, regulations and standards, including the sanction screening process;
6. Oversees development of data collection tools and gathers statistical data as required by regulations.
7. Establishes and maintains a training program and advice to employees, contractors and/or their agents and ensures compliance education is included as part of division specific annual mandatory trainings and completed by all staff, contractors and/or their agents;
8. Formulates new policies and evaluates current policies to ensure compliance with any legal or regulatory requirements;
9. Investigates and timely addresses complaints of noncompliance, fraud, waste, abuse or other misconduct and ensures proper reporting to the appropriate regulatory agency or personnel;
10. Ensures proper record keeping of complaints, reports, investigations, accounts, training, or financial and statistical data;
11. Liaisons with County Attorney's Office for legal assessment on noncompliance issues or complaints, interpretation of laws, rules or regulations and legal compliance requirements;



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- 12. Maintains organizational memberships and subscriptions to keeps abreast of all compliance updates or changes in any laws or standards;
- 13. Utilizes appropriate methods for interacting effectively and professionally with persons of all ages and from diverse cultural, socioeconomic, educational, racial and ethnic backgrounds, sexual orientations, lifestyles and physical abilities.

**FULL PERFORMANCE KNOWLEDGE, SKILLS, AND ABILITIES:**

Thorough knowledge of the principles and practices of managing a compliance program; thorough knowledge of regulatory compliance concepts, techniques, standards, laws, rules and regulations; good knowledge of record keeping practices; good knowledge of compliance training requirements and curriculum development; ability to express oneself clearly and concisely both orally and in writing; ability to read, analyze, and interpret regulations, policies and procedures; ability to problem solve and propose solutions/corrective actions; ability to work in a deadline driven environment; ability to establish and maintain effective relationships with management, staff and vendors/contractors.

**MINIMUM QUALIFICATIONS:**

- (A) Master’s Degree in Business or Public Administration, Accounting, Finance, Healthcare, Legal Studies, or a closely related field and two (2) years of experience at an administrative, managerial, or leadership level where the primary function of the position was in regulatory management, administrative compliance, risk management, quality assurance and improvement, or administrative oversight of fiscal services in a large agency (i.e. 100 or more employees); OR
- (B) Bachelor's Degree in Business or Public Administration, Accounting, Finance, Healthcare, Legal Studies, or a closely related field and four (4) years of experience as defined in (A) above.

NOTE: Professional Certification as a Certified Compliance & Ethics Professional (CCEP) may be substituted for up to one (1) year of the required work experience.

NOTE: Your degree or college credit must have been awarded by a college or university accredited by a regional, national, or specialized agency recognized as an accrediting agency by the U.S. Department of Education/U.S. Secretary of Education.

**SPECIAL REQUIREMENTS:**

Possession of a valid Driver License to operate a motor vehicle in New York State at time of application and to maintain the position.

**COUNTY USE ONLY:**

<b>BARGAINING UNIT: M/C</b>	<b>JURISDICTIONAL CLASSIFICATION: Competitive</b>
<b>GRADE: MD</b>	<b>FLSA Code: OT Exempt</b>
<b>REVISION HISTORY:</b>	