

Compliance Officer - Job Standards

Job Standards include: (Note: this is a representative list only - complete list provided with purchase)

KNOWLEDGE OF WORK:

Knowledgeable and skilled in the following compliance requirements:

- Lending and collection (specify): _____
- Human resource management (specify) _____
- Accounting and finance (specify) _____
- Regulatory compliance codes (specify) _____
- Other compliance issues (specify) _____

Knows how to examine documents, processes, and compliance issues; report on deficiencies; and initiate corrective actions

QUALITY OF WORK:

Compliance variations are accurate, properly documented, and effectively communicated to senior management, the Audit Committee or others entitled to receive the information

Conducts a sufficient number of test checks to assure compliance procedures are being followed

Maintains a compliance schedule and reporting process that is dependable, accurate, and provides a sound measure of the organization's conformance to compliance requirements

QUANTITY OF WORK:

Follows a comprehensive compliance review schedule and completes all tasks in a timely manner

Provides incident and exception reports with documentary evidence of trends in compliance

Produces regular compliance reports to indicate quantity of work, areas examined, results of compliance audit, and recommended corrective action

PROBLEM ANALYSIS:

Tracks frequency of specific compliance defects and investigates root causes

Knows how to get more information when serious compliance violations appear to have occurred (i.e. EEOC)

Does not jump to conclusions; gathers facts, consults, builds data in logical, rational way