



CITY OF HOUSTON

JOB DESCRIPTION

Job Code: 385.0

Job Title: CHIEF COMPLIANCE OFFICER (EXE LEV)

Pay Grade: 38

GENERAL SUMMARY:

The Chief Compliance Officer (CCO) has overall responsibility for the design and implementation of a City-wide compliance and ethics program within a newly formed Office of Compliance and Ethics and has day-to-day operational responsibility for both the program and Office. The CCO reports directly to the Mayor. The CCO has direct access to all elected City officials, all Department directors and senior management, legal counsel both internal and external, and all city personnel.

RESPONSIBILITIES:

- Creation, implementation and oversight of the compliance program.
- Identification, prioritization and management of compliance risks on a citywide basis.
- Periodic revision of the program in light of changes in the needs of the City, and in the law, and policies and procedures of federal, state and local governments.
- Taking steps to ensure the City has appropriate policies defining the standards and procedures to be followed by its agents and employees.
- Ensuring that high level City personnel are knowledgeable about the content and operation of the compliance and ethics program, and are performing their assigned duties consistent with the exercise of due diligence as well as promoting an organizational culture that encourages ethical conduct and a commitment to compliance with the law.
- Participating in the identification of training needs, and in the development of an educational and training program that focuses on the elements of the compliance program. The training program will seek to ensure that all appropriate employees and management are knowledgeable of and comply with pertinent federal, state and local standards.
- Ensuring independent contractors and agents are aware of the requirements of the compliance program.
- Coordinating internal compliance review and monitoring activities, including periodic reviews of departments.
- Investigation of indications of past, current or prospective misconduct as warranted.
- Facilitating the implementation of reasonable remedial measures to respond to compliance risks and identified failures.
- Responding to government investigations and queries as the principal point of contact.
- Managing all aspects of the Office of Compliance and Ethics.

SPECIFICATIONS:

KNOWLEDGE: Requires a Doctor of Jurisprudence degree from an American Bar Association accredited college of law. Certification as a Compliance and Ethics professional preferred.

EXPERIENCE: Ten or more years of managerial-level legal and compliance related work. Some previous managerial-level governmental experience preferred.

COMPLEXITY:

Work is non-standardized, complex and varied, and requires interpretation of technical and detailed guidelines, policies and procedures in combination. Advanced analytic ability is needed to gather and interpret data where answers can be found only after detailed analysis of many facts.

IMPACT OF ACTIONS:

Errors in work lead to significant costs and problems, and may have impact on the operations of the City. Work is typically performed under limited to general supervision. The incumbent works from broad goals and policies. In addition, the incumbent will participate in setting work objectives.

SUPERVISION EXERCISED:**Direct Supervision:**

Involves scheduling, supervision and evaluation of work as a Deputy Director or the equivalent. This position is typically over the Managers and reports to the Deputy Director and has a very significant level of input concerning personnel actions such as hiring, terminations and pay changes.

Indirect Supervision:

Involves supervision and evaluation of work as a Deputy Director or the equivalent.

CONTACTS:**Internal Contacts:**

Level of internal contact is primarily with Department Directors and Executive staff reporting to the Mayor, and will include Managers and Assistant Directors. Interaction involves considerable explanation and persuasion leading to decision, agreement or rejection on complex issues; sophisticated diplomacy is required; e.g., problem-solving discussions regarding operations, policies, responsibilities, finance, or work flow to facilitate compliance efforts.

External Contacts:

Level of external contacts are primarily with citizens and/or senior representatives of government agencies, vendors and professional contacts with allied organizations and with prominent persons such as community leaders, business and industry leaders as well as officials of government and financial agencies and media representatives. Interaction involves considerable discussion and persuasion leading to decisions, agreements or better understanding of complex issues affecting operations, requiring sophisticated diplomacy.

PHYSICAL EFFORT:

The position is physically comfortable; the individual has discretion about walking, standing, etc.

WORK ENVIRONMENT:

There are no major sources of discomfort, i.e., essentially normal office environment with acceptable lighting, temperature and air conditions.

PHYSICAL SKILL:

Requires the ability to make simple gross motor responses within large tolerances.

MISCELLANEOUS:

All duties and responsibilities may not be included in the above job description.

JOB FAMILY:

Chief Compliance Officer (Exe Lev)