

Nevada Affordable Housing Assistance Corporation

JOB DESCRIPTION

POSITION TITLE: Compliance Manager

STATUS: Exempt / Salaried

REPORTING RELATIONSHIP: 1. Chief Executive Officer/ Chief Operating

POSITION SUMMARY: The Compliance Manager will act to ensure the strict adherence to all applicable policies, rules, regulations, or other standards required as a part of the Nevada Hardest Hit Fund Program (NVHHF). This will include designing, implementing, and monitoring policies, procedures, and internal controls related to respective compliance requirements in coordination with management and other parties, as applicable. This will include collaborating with both internal staff and external providers, as necessary, to ensure that all applicable compliance requirements are being met, and will include the oversight of the Quality Control Manager and Compliance Specialist personnel, who will work to assist the Compliance Manager as directed.

RESPONSIBILITIES AND DUTIES:

- Manage and ensure NAHAC and subordinate vendors deliver the NVHHF program in a manner compatible with state and federal law and regulations.
- Manage and ensure (or cause to manage and ensure) NAHAC vendors meet(s) all applicable federal and state laws and regulations related to Information Security and Privacy as it relates to the delivery of the NVHHF programs.
- Collaborate with functional area experts to develop, aggregate and maintain policies, procedures and activities pertaining to Information Security and Privacy.
- Manage and execute (or cause to manage and execute) compliance review audits of NAHAC and subordinate counseling agencies in order to identify the extent to which operations comply with NAHAC Information Security standards and all applicable laws and regulations.
- Develop and maintain a complete inventory of personal information of program participants used by NAHAC (i.e., including, but not limited to, vendors and subordinate counseling agencies) and the locations at which it is at rest and the mechanisms by which it is communicated for the purposes of ensuring compliance with applicable standards, laws and regulations.
- Lead, manage, define, implement, test and maintain Internal and External Anti-Fraud and Compliance Monitoring Program.
- Monitor and evaluate the integrity of program transactions and provide feedback to NAHAC management regarding indications of misuse of funds and internal/external fraud.
- Lead and manage internal/external fraud investigations and interface, as necessary, with external agencies regarding fraud issues.
- Lead, manage, define, implement and maintain program compliance plan and program that ensures that the processes, policies, and procedures of NAHAC and vendors meet federal and state compliance requirements.
- Collaborate with NAHAC staff and partner staff to analyze and assess the level of risk associated with operational deficiencies and escalate findings according to the approved process.
- Collaborate with NAHAC staff and partner staff in identifying risks, recommending mitigation strategies and identifying contingency plans.
- Collaborate with NAHAC staff in monitoring for risk triggers and ensuring the appropriate mitigation strategies are executed.
- Assist NAHAC staff in performing business process analyses through data reviews and onsite engagement with NAHAC staff in order to identify process improvements that positively impact process effectiveness, risk and efficiencies.

- Collaborate with NAHAC staff and partners in proactively communicating recommendations for process improvement and ensuring that they are implemented, as appropriate.
- Collaborate with NAHAC management in order to achieve resolution to NVHHF program operational issues.
- Review and analyze operational performance outcomes and provide feedback and recommendations aimed at overall organizational and program improvement.
- Manage and ensure the currency, accuracy and appropriate distribution of all current policies and procedures and coordinate with NAHAC management and staff to implement a change protocol process to systematically manage amendments to these documents.
- Maintain a current library of NAHAC policies and procedures and a thorough record of past policy and procedure changes.
- Review and approve all critical NVHHF program policies and procedures.
- Lead, manage and collaborate with NAHAC management and staff in the processing and resolution of homeowner escalations.
- Collaborate with the Quality Control (QC) Supervisor in QC reviews of NAHAC's underwriting operations and subordinate counseling agencies and in the communication of QC findings.
- Support NAHAC Compliance Reviews by the U.S. Treasury, as necessary.
- Support the development of responses to SIGTARP, or other governmental entity, requests for information.
- Support NAHAC financial audits by external auditor, as necessary.

The duties and responsibilities described above may provide only a partial description of this position. This is not an exhaustive list of all aspects of the job. Other duties and responsibilities not outlined in this document may be added as necessary or desirable, with or without notice.

QUALIFICATIONS AND REQUIREMENTS:

Education and Experience:

- BS or BA Degree
- 2-5 years experience in compliance, quality assurance and/or related field

Technical Skills:

- Ability to function efficiently in a computerized environment. Proficiency in Microsoft Word, Excel, Outlook and email and internet applications.
- Possesses a high level of proficiency in presentation skills and technical skills necessary to prepare and deliver effective presentations to diverse groups at all levels of the organization.
- Proficiency in quality management tools.
- Ability to synthesize complex and diverse information.
- Ability to read, analyze and interpret complex information, instructions and data dealing with concrete and abstract variables.
- Ability to solve problems in a timely manner and deal with a variety of variables to arrive at solutions when no defined set of guidelines may exist.
- Ability to listen to and consider diverse ideas and opinions and to make recommendations based on a combination of factors and information.
- Must have excellent verbal, listening, and written communication skills.
- Ability to effectively assess risk.
- Strong analytical and problem solving skills; able to identify, analyze and resolve issues. Attention to detail.
- Excellent interpersonal and communication skills. Ability to effectively interact with all levels of internal and external business partners.
- Ability to overcome objections, anticipate concerns, and work to overcome them.
- Ability to exercise independent judgment and make sound business decisions effectively.
- High degree of personal organization and time management skills. Ability to multi-task under tight timeline

constraints, including ability to prioritize and perform successfully in a fast-paced environment.

Key Competencies Required:

- Self-motivated and possesses the ability to positively motivate others.
- Displays a willingness to make decisions, exhibits sound and accurate judgment and makes timely decisions.
- Strong work ethic, and the ability to demonstrate the willingness and ability to put forth level of work effort required to fulfill job duties as required.
- Possesses professional appearance and attitude.
- Displays good judgment and common-sense qualities.
- Must be detail oriented to assure accuracy in dealing with client case files.
- Possesses social and professional skills to develop and maintain productive relationships.
- Ability to adapt well in a constantly changing environment. Flexible and non-judgmental.
- Proficient in conflict resolution. Possesses the ability to listen, facilitate and mediate.
- Highly developed organizational, time management and planning skills.
- Possesses the ability to handle stressful situations and a high-volume workload in a consistently calm and productive manner.
- Displays a willingness to accept new challenges and opportunities as a key to personal and professional growth.
- Attention to detail and results orientated.

PHYSICAL DEMANDS:

The physical demands are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions of the position provided no undue hardship would result.

- The individual is required to regularly sit at a computer and enter data for extended periods of time.
- The individual is required to listen and talk to individuals and before groups in the performance of the job.
- The individual is regularly called upon to deal with stressful situations and a high work volume.
- The individual is regularly required to stand, walk and drive for extended periods of time.
- The individual is occasionally required to bend, stretch and use hands to handle or feel objects, tools or controls and to reach with hands and arms.
- The individual is occasionally required to lift up to 25 lbs.
- Position requires some travel and scheduling flexibility.

JOB DESCRIPTION ACKNOWLEDGMENT:

I have received a copy of my job description dated _____. The job description describes duties and responsibilities, which apply to me. I agree to read the job description and understand it may be amended as company conditions or requirements necessitate. In that case, changes will be communicated to me.

Employee Signature

Date

Employee Name (printed)

Date

Supervisor Signature

Date

Please keep a copy for your records
