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OFFICE of the COMPTROLLER

Statewide Risk Management Team

Compliance Officer III

JOB POSTING FY23 – 017

About the Office of the Comptroller

The Office of the Comptroller of the Commonwealth of Massachusetts (CTR) is an independent and apolitical agency charged with overseeing the Commonwealth's financial systems, preparing the annual financial reporting, and managing the external single audit process. In fiscal year 2021 CTR oversaw approximately \$95 billion in spending. In addition, CTR oversees the Commonwealth's General Ledger, payroll and vendor management, trains state employees on risk mitigation and operates the Commonwealth's financial system.

As stewards of the public trust, CTR aspires to inspire confidence by maintaining our core principles: clarity, integrity, and accountability. The powers and obligations of the Office of the Comptroller are generally dictated by M.G.L. c. 7A.

Position Summary

The Office of the Comptroller's **Statewide Risk Management Team** (SRMT) has six areas of responsibility:

- 1) The SRMT manages security access to the Commonwealth's Accounting and HR/Payroll Enterprise Systems for users at all state agencies.
- 2) The SRMT uses data analytics and desk reviews to ensure agency compliance with State Finance Law, and Comptroller regulations, policies and procedures and ultimately protect against fraud, waste, and abuse.
- 3) The Risk Team offers resources on cybersecurity internal controls, training, preparedness, and organization responsibilities.
- 4) Under Chapter 647 of the Acts of 1989, the Comptroller is responsible for developing internal control guidelines for Commonwealth agencies and assisting them in certifying the existence of internal controls and best practices in various business areas.

- 5) The Risk Team manages the IT and Uniform Guidance portions of the Statewide Single Audit and files the Single Audit Report with the Federal Clearinghouse. SRMT also monitors potential auditor independence issues, and other auditor fiscal reviews, outcomes, and reports.
- 6) SRMT reviews the internal operations of the Comptroller's business teams and consults on business processes.

This position will be primarily responsible for reviewing business processes across the Office of the Comptroller (CTR). The successful candidate will develop review plans by conducting a risk assessment of business activities to prioritize reviews. The plan will have input from the Assistant Comptroller for Risk, the Chief Risk Officer and be approved by the Comptroller.

The candidate will meet with team staff throughout CTR to review procedures and consult on improvements for both processes and documentation; train staff on compliance with regulations, internal controls, and best practices; coordinate with CTR Legal on updating the Internal Control Plan. Other duties will include supporting: the statewide Single Audit; desk reviews of the 154 Commonwealth departments that operate in the Enterprise Systems under CTR oversight (the Massachusetts Management, Accounting and Reporting System (MMARS), the Human Resources and Compensation Management System (HR/CMS) and the Commonwealth Information Warehouse (CIW)); Security Access reviews; Internal Control Questionnaire analysis and other activities as needed.

The successful candidate must be a self-starter that can multi-task and prioritize workflow; have professional communication skills – verbal and written; patience to accurately review important details; a positive customer service approach to problem solving; professional appearance during in-person and virtual meetings; and assist with special projects as needed.

Specific Duties Include:

- Lead the planning, development and implementation of compliance and quality assessment review programs, to evaluate the effectiveness of existing controls.
- Review Comptroller policies and procedures in order to consult with CTR Teams on compliance with internal controls and safeguards for business processes, especially in relation to fraud prevention and detection.
- Provide guidance to CTR Teams on updating existing internal controls and drafting effective internal controls for new processes
- Provide guidance and training to departments regarding compliance with established procedures, interpreting applicable laws, rules, and regulations
- Initiate and analyze audit reports that use Microsoft Access and the Commonwealth Information Warehouse (CIW).
- Contribute to the planning and coordination of the annual Internal Control Questionnaire (ICQ) and/or serving as a member of the Comptroller's Single Audit team
- Interact cooperatively and professionally with colleagues at the Comptroller's Office and other state departments and agencies

- Actively assist Unit and Bureau Leadership with cross training, knowledge transfer, disaster recovery, risk assessment and internal control review
- Assist in annual updates of bureau procedures
- All employees of CTR may be asked to engage in other administrative or fiscal process assignments on an as needed basis

Preferred Qualifications

This position requires a motivated self-starter with the following capabilities and attributes:

- Excellent professional verbal and written communication skills
- Ability to communicate with clarity; ability to provide instruction in a precise and understandable manner
- Ability to gather information by examining records and document
- Ability to gather information through conversations
- Detail oriented
- Proven ability to complete tasks and assignments timely and with accuracy
- Ability to pivot to address items requiring immediate attention
- Proven ability to multitask with accuracy
- Positive attitude
- Capacity to learn and adhere to new standards and guidelines as necessary
- Ability to work well under pressure
- Ability to exercise sound judgement
- Proven ability to work both independently and in a team setting
- Ability to provide helpful informed guidance to agencies and co-workers
- Ability to research, analyze and present accurate information
- Ability to make corrective action recommendations
- Ability to maintain accurate records both hard copy and electronic
- Strong working knowledge of Microsoft Windows applications (Word, Excel, Access, Outlook)
- Bachelor's degree or higher in business management or business administration with a concentration in accounting
- Strong knowledge and experience utilizing MMARS, the Commonwealth Information Warehouse (CIW), and Microsoft Office (intermediate to advanced Access and Excel is required)
- Ability to understand and apply pertinent state/federal laws, rules and regulations

- High level of confidence and ability to communicate clearly and effectively in oral and written form to internal and external partners
- Strong interpersonal skills and the ability to work professionally with persons at all levels in a dynamic work environment
- Ability to independently manage and execute multiple tasks and responsibilities with multiple and changing priorities
- Strong problem solving and conflict resolution skills and the ability to identify the need for corrective action

Minimum Entrance Requirements:

Applicants must have at least (A) five years of full-time, or equivalent part-time experience in accounting or auditing, of which (B) at least three years must have been in a supervisory, administrative or managerial capacity or (C) any equivalent combination of the required experience and the substitutions below.

SUBSTITUTIONS:

- I. An Associate's degree with a major in accounting, business administration or business management may be substituted for a maximum of one year of the required (A) experience.*
- II. A Bachelor's or higher degree with a major in accounting, business administration or business management may be substituted for a maximum of two years of the required (A) experience.*
- III. A Graduate degree with a major in accounting, business administration or business management may be substituted for a maximum of two years of the required (A) experience and one year of the required (B) experience.

*Education toward such a degree or diploma will be prorated on the basis of the proportion of the requirements actually completed.

Salary Range: **\$ 64,976.34 - \$ 93,662.66**

Salary range is per the Unit 6 Collective Bargaining Agreement between the Commonwealth of Massachusetts and the National Association of Government Employees. This position is a Compliance Officer III Grade 13. Salary is determined in accordance with the collective bargaining agreement and Commonwealth hiring guidelines.

Benefits Package:

CTR is pleased to offer a comprehensive benefits package for its employees and managers. The specific components and eligibility may vary based upon position classification, hours worked per week and other variables. Therefore, specific benefits for this position may be discussed as part of the interview and offer process.

The overall benefits available include paid vacation, sick and personal leave time, health, dental and vision insurance through the Commonwealth's Group Insurance, and optional pre-tax Health Savings Account plans. Details of the various plans and the cost split between employer and employee may be reviewed by looking at the Group Insurance website, <https://www.mass.gov/orgs/group-insurance-commission> and/or as part of the interview process.

CTR employees also participate in the Commonwealth's State Retirement Plan, which may become a Defined Benefit Plan for those that both vest and subsequently retire from State service. Follow this link for additional retirement information: <http://www.mass.gov/treasury/retirement/state-board-of-retire/>

In addition, CTR provides employees the opportunity to elect life insurance, long term disability insurance, deferred compensation savings, tuition remission, pre-tax commuter account plans, along with other programs. This position may be eligible for the federal Public Service Loan Forgiveness (PSLF) program administered by the Federal Government.

CTR Hybrid Work Model

CTR began operating its hybrid work model on November 1, 2021. Under this policy, employees are currently required to work a minimum of four business days per month (two set by management and two set by the employee) on-site at CTR's Boston office and may work remotely the remainder of the time at a location approved by their supervisor, so long as they comply with the requirements of the telework policy. Under this policy, all employees must be able to report to the Boston office with little or no notice, even including the same workday should an exigent circumstance arise. Therefore, a reasonable proximity to the office is necessary. CTR does not reimburse for employees to travel to the office.

In addition, the successful candidate may be required to work primarily on site in Boston during the initial training and orientation period and/or for certain positions a primarily on-site role may be necessary.

Hours

Hours of work are Monday through Friday, except for holidays, on a full-time basis, with a compensated workday of 7.5 hours per day (37.5 hours per week). A selected candidate's exact schedule may be set with the direct supervisor. Overtime, night, and weekend work schedules will be set with the position's direct supervisor.

COVID-19 Vaccination Requirement

The successful applicant will be required to have received the full required regimen of vaccine doses of a COVID-19 vaccine (two doses of the Pfizer/Moderna vaccine or one dose of the Johnson & Johnson vaccine) prior to their start date, and may be required to demonstrate that they continue to maintain COVID-19 vaccination boosters in accordance with updated public health recommendations or policies that may be adopted by the Office of the Comptroller (e.g., staff shall obtain all recommended boosters.) Applicants who request to be exempt from the requirement for COVID-19 vaccination due to a documented medical condition that makes vaccination medically contraindicated or based on a sincerely held religious beliefs must obtain approval for such an exemption from the Office of the Comptroller before their start date.

Details relating to how to comply with this requirement which includes weekly testing may be discussed with CTR's Chief Human Resources Officer during the selection process.

Commitment to Diversity:

CTR is committed to building a diverse staff at all levels across its entire agency.

CTR IS AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION EMPLOYER

Application Process:

The Office of the Comptroller encourages interested candidates that meet the minimum entrance requirements and qualifications to apply for this position.

Interested candidates should submit materials electronically, by **E-mail** no later than 5:00 pm, **January 23, 2023**.

Submissions should include the following:

- a cover letter,
- resume,
- two business writing samples, and
- three professional references.

The application package should be submitted to:

CTR-HR@Massmail.State.Ma.Us

Applicant packets will be reviewed and considered on a rolling basis so interested applicants are encouraged to apply as soon as possible. Late submissions may be considered solely at the discretion of CTR.

Please include position title and posting number in the subject line of your submission.

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Required Background Check – Including Tax Compliance:

CTR requires a background check on all prospective employees as a condition of employment.

Candidates should know that the background check is not initiated until:

1. A candidate is invited to a second or subsequent interview and
2. The candidate has signed the Background Check Authorization Form and related releases.

This background check includes:

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A Criminal Offender Record Information (CORI) check,
Federal IRS and
Commonwealth Department of Revenue state tax compliance.

Candidates with advanced degrees and professional licenses may have these credentials verified.

Individuals other than those references provided by a candidate may be contacted in the course of completing a full background and qualification check.

Further Information:

Please visit <https://www.macomptroller.org> for more information about the Office of the Comptroller.