



Job Description

(For Positions in CAW Local 555, Unit 1)

Job descriptions do not include every duty that an individual in a position performs. They are intended to be representative and characteristic of the duties required and the level of work performed. Depending upon the size of the department or unit and its functional activities, incumbents who fall into this category may perform all of the duties listed below or, in the case of large departments or units, may be assigned to designated specialized functions.

JD #:	JD00502	Pay Grade:	9
JD Title:	Research Compliance Officer	JD FTE Hours:	35
Job Family:	Research Admin		

General Description

Responsible for the oversight and management of compliance issues with respect to sponsor guidelines and McMaster University internal policies and procedures.

Representative Duties & Responsibilities

- Interprets and analyzes new regulatory mandates, rules, and requirements.
- Identifies areas of exposure with respect to compliance to sponsor guidelines and develops and implements countermeasures to mitigate risks.
- Develops and implements research finance policies and procedures to ensure compliance with sponsor guidelines.
- Disseminates the impact of new regulatory requirements and policies to staff.
- Conducts compliance monitoring and testing including reviewing purchases, expenses, and other transactions to ensure that they comply with established guidelines.
- Reviews process flows and makes recommendations for improvement and streamlining of processes.
- Assesses the effectiveness of existing financial procedures and processes and prepares recommendations for improvement.
- Reviews and identifies financial statements such as month-end statements and transaction listings that require redesign.
- Participates in the redesign of financial statements.
- Contributes to new systems development for finance, accounting, and research administration.
- Reviews data-file downloads to monitor compliance with sponsor guidelines and for eligibility and proper approval of transactions.
- Develops, implements, and delivers a compliance education and training program.
- Compiles data and generates reports for submission to various sponsorship and granting agencies.
- Provides advice to researchers and staff regarding sponsor guidelines and compliance issues.
- Plans and coordinates compliance audits and site visits from sponsors.
- Trains new research accountants to ensure various transactions are processed and handled in a consistent manner.
- Oversees and trains others on the processing of electronic financial forms such as expense reports, journal entries, and credit transactions.
- Writes a variety of documents such as correspondence, reports, and presentation slides.
- Attends and participates in audit meetings.
- Remains current with frequent changes to new and existing sponsor guidelines.

Supervision

- Provides lead hand supervision and is responsible for the quality and quantity of work of others.
- Provides orientation and shows procedures to others.

Qualifications

- Bachelor's degree in Business or related field.
- Requires 4.5 years of relevant experience.

Effort

Physical Effort:

- A typical work day consists of greater than 3.5 hours of low physical effort for activities such as:
 - Intermittent periods of keyboarding to word process reports and financial forms.
- Elements of moderate physical effort are not a regular feature of this job.
- Elements of high physical effort are not a regular feature of this job.

Mental Effort:

- A typical work day occasionally requires routine mental effort for activities such as:
 - Collecting routine information to generate financial reports.
- A typical work day consists of greater than 3.5 hours of moderate mental effort for activities such as:
 - Conducting compliance monitoring and testing including reviewing purchases, expenses, and other transactions to ensure that they comply with established guidelines.
 - Attending and participating in audit meetings.
 - Designing new financial reports.
 - Compiling data and generating reports for submission to various sponsorship and granting agencies.
 - Reviewing data-file downloads to monitor compliance with sponsor guidelines.
- A typical work day consists of up to 3 hours of high mental effort for activities such as:
 - Interpreting new regulatory mandates, rules, and requirements.
 - Identifying areas of exposure with respect to compliance to sponsor guidelines and determining and implementing countermeasures to mitigate risk.

Working Conditions

Physical Environment:

- There are no adverse physical environment conditions inherent to the job.

Psychological Environment:

- Frequently handles competing requests from multiple sources.

Health & Safety:

- Risk to the incumbent is no higher than for the general population.

Job Description Rating Sheet

(For Positions in CAW Local 555, Unit 1)

JD #:	JD00502	Pay Grade:	9
JD Title:	Research Compliance Officer	Total Points:	570
Job Family:	Research Admin		

Factor	Subfactor	Level Rating	Points
Skill	1. Applied Reasoning and Analytical Skills	5.0	105
	2. Breadth of Knowledge	2.0	13
	3. Adaptation to Change/Updating of Learning	2.5	17
	4. Interpersonal Skill	3.0	39
	5. Education and Experience	E4	104
	6. Dexterity and Coordination	2.0	12
Effort	7. Physical Effort	1.0	3
	8. Mental Effort	4.0	78
Responsibility	9. Planning and Coordination	3.0	46
	10. Responsibility for Others	3.0	55
	11. Accountability for Decisions Actions Affecting People, Assets, and Information	3.5	80
Working Conditions	12. Physical Environment	1.0	3
	13. Psychological Environment	2.0	10
	14. Health and Safety	1.0	5