

Compliance & Risk Analysis Job Profile

Job Family: Compliance & Controls Analysis Department: Customer Relations Function: Customer Care Reports to (title): Manager	Last Updated: October, 2011
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Job Summary	<p>Manage the effective operation of Customer Care's internal controls over regulatory, financial, and policy compliance. Act in a consultative capacity as a business partner and controls expert to the entire Customer Care organization. Set and administer organization wide coordinated programs that enforces control standards to be employed and sustained at departmental levels. These programs also define reporting requirements of business owners to ensure continued accountability and resolution of risk issues. Responsible for understanding the business environment, identifying and assessing organizational compliance risks and requirements, evaluating control deficiencies, and supporting the design of mitigating control activities, and setting policies and standards, in line with compliance objectives.</p>
Major Responsibilities	<p>Major Areas of Responsibilities typically include the following:</p> <p>Regulatory Compliance Management: Design and define org.-wide governance program to meet compliance requirements. Coordinate compliance validation activities and control effectiveness testing activities. Assess and resolve complex control deficiency issues. Assess and analyze complete regulatory requirement issues to determine impact and remediation efforts. Design control risk mitigation plans and support business implementation. Train of Leaders across the organization.</p> <p>Internal Audit Support: Coordinate org.-wide internal audit program in partnership with Internal Audit Department. Liaison between business lines and IA to resolve communication, technical, or risk/control issues. Provide design expertise and consultation to business lines. On-going monitoring, support, and reporting of remedial action plans. Reporting and review support for Officers including validation of issues and development of business action plans. Risk evaluation of issues to determine remedial action priority and resource allocation.</p> <p>Security Exchange Commission Requirements: SEC 10Q / 10K and Commitment and Contingency Reporting. Develop and execute quarterly plan with VPs to support SVP certification. Coordinate review, report, and signing of VPs. Assess and resolve complex questions/issues regarding disclosure requirement, impact, and presentation. Train Leaders across the organization. Non-compliance in this area may be detrimental to PG&E's public trading status and investor confidence, fines (up to \$millions) and/or sanctions.</p> <p>Sarbanes- Oxley Requirements: Quarterly Sarbanes Oxley Assessment of Controls as required by Federal law of all publicly traded companies to self-assess and certify to the effectiveness of their internal controls over financial reporting. Develop and execute quarterly self-assessment plan with all applicable Customer Care LOBs. Coordinate controls testing and assess results. Assess and resolve complex control deficiency issues. Design control risk mitigation plans and support business implementation. Train of Leaders across the organization.</p> <p>Privacy Requirements: Company wide coordination of all federal, state, and other authoritative requirements. Project leadership with cross org partners on remedial and improvement initiatives. Control design and consultation to all applicable business lines. Executive and board report preparation. Direct support to Privacy Officers. Administrator of company Privacy Committee. Direct Privacy Committee to conform with all responsibilities as chartered.</p> <p>Mandated Training Compliance: Org-wide coordination, enforcement, and status/metric reporting of the following company mandated training requirements including Compliance / Ethics, Diversity and Inclusion Training, Code of Conduct Certification, Affiliate Rules, Federal Code of Conduct</p> <p>Various Compliance Metrics and Reporting: Summary reports representing Customer Care's compliance status on various Enterprise initiatives. Metrics/Reports those that go to the Audit Committee and Blue Book.</p> <p>Enterprise Requirement Management: Assess risk impacts. Design and coordinate mitigating activities. Align appropriate measures. Coordinate quarterly metric reporting</p>

Note: This document is meant to describe the general nature and level of work being performed; it is not intended to be an exhaustive list of all responsibilities, duties, and skills required for the position.



Compliance & Risk Analysis

Job Title	Cust Care Compliance & Risk Analyst	Cust Care Compliance & Risk Analyst, Senior	Cust Care Compliance & Risk Analyst, Expert	Cust Care Compliance & Risk Analyst, Principal
Position Title	Cust Care Compliance & Risk Analyst	Cust Care Compliance & Risk Analyst, Senior	Cust Care Compliance & Risk Analyst, Expert	Cust Care Compliance & Risk Analyst, Principal
PGE Job Level	Career	Senior	Expert	Principal
SAP Job Code	50431189	50431190	50431191	50431192
Distinguishing Characteristics	<ul style="list-style-type: none"> • Demonstrates full understanding of regulatory policy and compliance concepts • Ability to thoroughly assess new external regulatory requirements and develop action plans • Ability to work with internal/external program teams on new and current compliance issues • Ability to collaborate with team to provide best practice consultation for assessing internal controls for various business processes • Participates on project teams to , provide general compliance support and monitor regulatory deadlines • Collaborate with team to develop administrative/preventive/detection controls to mitigate risk and exposure compliance requirements • Ability to thoroughly assess routine compliance impacts and develop action plans • Review all quarterly control assessments tested by the business • Assist in all forms of research for information on past, current and of pending future regulatory requirements • Assist in the benchmarking industry wide compliance practices • Assist in evaluating control deficiencies in accordance with the company's framework for evaluating control exceptions and deficiencies to conclude on potential impact to the company • Understands the company and regulatory organizational structure and how to interact with and utilize available contacts and resources • Assist with the preparation of reports/presentations on the status of all compliance related requirement for full disclosure to upper management 	<ul style="list-style-type: none"> • Demonstrates advanced knowledge of regulatory policy and compliance concepts • Takes on leadership role in addressing new external regulatory requirements and lead the development of most efficient action plans to address compliance requirements • Works independently and lead program teams on new and current compliance issues • Clearly articulates best practice on strong control practices recommendations both witten and oral communications internally and externally and to functional management • Lead project teams, providing advanced compliance support and monitoring regulatory deadlines • Lead and provide advice on the implementation of administrative/ preventive/ detection controls to mitigate risk and exposure of compliance requirements • Review and provide guidance all quarterly control assessment tested by the business • May act as a mentor and provide direction to less experienced team members • Lead benchmarking efforts on industry wide compliance standards • Provide leadership and insight in evaluating control deficiencies in accordance with the company's framework for evaluating control exceptions and deficiencies to conclude on potential impact to the company • Works with all levels of leadership (up to and including VP) across functions to provide relevant compliance information and direction for decision making • Understands the company and regulatory organizational structure and how to interact with and utilize available contacts and resources • Ability to identify compliance risks and to evaluate and mitigate identified risks • Examines alternate solutions to a compliance issues, effectively troubleshoots various issues, and provides findings and recommendations for internal clients and external stakeholders 	<ul style="list-style-type: none"> • Demonstrates broad expertise and applies advanced knowledge to wide-ranging compliance issues. • Ability to address complex strategic issues and takes a broad perspective to identify innovative solutions • Works independently with guidance on only the most complex issues • Leverages contacts within and beyond the company to pressure-test and refine compliance solutions • May manage cross-functional projects or initiatives • Works with all levels of leadership (up to and including SVP) across functions to influence decisions around compliance issues and risks • Seeks out and understands industry compliance practices and incorporates knowledge and findings into decision making. • Examines alternate solutions to compliance issues, effectively troubleshoots various problems, performs analyses, and provides findings and recommendations for internal clients and external stakeholders • Consistently demonstrates a high level of innovative and new thinking focused on compliance strategy, controls and implementation • Provide mentorship and training to less experience team members (Associate, Career and Senior 	<ul style="list-style-type: none"> • In-depth and unique industry, regulatory and compliance expertise. • Works independently on complex compliance and risk assessment issues with critical impact to the organization and the company • Solves unique and complex strategic compliance issues and problems • Works autonomously and has a solid leadership role and function • Leverages contacts within and outside the company to pressure-test and refine solutions to compliance issues to mitigate risks • Ability to effectively communicate highly complex ideas to diverse audiences using a variety of media. • May manage major cross-functional projects and initiatives • Anticipates compliance issues and develops innovative solutions to mitigate risks • Influences policy and compliance strategy at other utilities and regulatory agencies • Acts as a thought leader, applying extensive unique compliance and/or policy expertise in the development of strategy or resolution of policy and compliance issues • Works with senior management to support strategic planning and decision making on compliance issues

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Supervisory Responsibility	No supervisory responsibility	No supervisory responsibility	No supervisory responsibility	May have 1 – 2 direct reports
Education	<ul style="list-style-type: none"> Bachelor's degree in Policy, Business, Accounting, Finance, or related discipline or equivalent experience 	<ul style="list-style-type: none"> Bachelor's degree in Policy, Business, Accounting, Finance, or related discipline or equivalent experience 	<ul style="list-style-type: none"> Bachelor's degree in Policy, Business, Accounting, Finance, or related discipline or equivalent experience 	<ul style="list-style-type: none"> Bachelor's degree in Policy, Business, Accounting, Finance or related discipline or equivalent experience
License/Certification	NA	NA	NA	NA
Experience	Typically 3 years of related experience	Typically 6 years of related experience	Typically 8 years or related experience	Typically 10 years of related experience
Knowledge, Skills, and Abilities	<ul style="list-style-type: none"> Ability to work in team environment Ability to assess and recommend solutions for routine projects Possesses general technical knowledge Ability to communicate in written and verbal form Demonstrated attention to detail Ability to learn new concepts quickly Adaptable to changing business priorities. Able to understand basic technical and business concepts Proficient with Microsoft Office products including Word, Excel, PowerPoint Solid technical knowledge Good research and issue resolution skills Ability to assess and recommend solutions for assigned projects Ability to prioritize, plan, perform and communicate activities both in written and verbal form 	<p>In addition to those for Career, Senior requires:</p> <ul style="list-style-type: none"> Strong technical background to perform assignments Able to present analysis and evaluation results and output in a cohesive, understandable and actionable format to department management Understands programs, policy and compliance requirements and to advise on business impacts 	<p>In addition to those for Senior, Expert requires:</p> <ul style="list-style-type: none"> Able to present complex data and findings to internal audiences including Managers, Directors and VP's across the company Applies demonstrated knowledge and skill to resolve complex problems Ability to solicit and integrate information from a variety of sources Ability to use proper analytical techniques to breakdown and solve complex problems 	<p>In addition to those for Expert, Principal requires:</p> <ul style="list-style-type: none"> Able to lead department wide initiatives of the highest complexity and impact Able to present highly complex findings to diverse audiences which may include top industry and regulatory stakeholders and senior management at PG&E Ability to develop strategies and implement across the organization.
Working Conditions	Primarily office environment with extensive use of personal computers, telephone conversations, conference calls and in person meetings. Travel required depends on position.			
Supplemental Information				

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Technical Competencies	Technical Competency Descriptions	Proficiency Level*			
		Career	Senior	Expert	Principal
Deals w/Ambiguity	Effectively copes with change; shifts gears comfortably; decides and acts without having complete information; isn't upset when things are up in the air; doesn't have to finish things before moving on; comfortably handles risk and uncertainty	Novice	Proficient	Advanced	Master
Process Management	The application of knowledge, skills, tools, techniques and systems to define, visualize, measure, control, report, manage, and improve processes in order to meet business and organizational needs	Proficient	Advanced	Master	Master
Communication	Communicates with peers, subordinates, leadership, and external stakeholders as necessary, using a variety of media; conveys his/her views in a clear, direct, and non-threatening manner; seeks first to understand and then to be understood	Proficient	Advanced	Advanced	Advanced
Organizational Savvy	Can maneuver through complex organizational situations effectively and without disruption; is sensitive to how people and organizations function; anticipates where the obstacles are and plans his/her approach accordingly. Aligns and maneuvers organizational resources skillfully to solve problems or accomplish goals.	Proficient	Proficient	Master	Master
Professional Demeanor	Conducts him / herself in a manner that reflects positively on the department, does not lose his/her temper, manages conflicts in a positive, non-abrasive manner; is comfortable interacting with individuals at all levels inside (and outside if required) the organization; treats others respectfully	Proficient	Advanced		
Strategic Business Perspective	Understands the company's overall goals and strategies, as well as the goals of business partners; continually applies this understanding to identify and address the critical needs of the overall business	Novice	Proficient	Advanced	Master
Risk Management	Assesses, prioritizes, monitors and addresses complex policy issues and challenges that present risk to our business and reputation.		Proficient	Advanced	Master

***Proficiency Levels**

Novice: Demonstrates general understanding of knowledge, principles, and/or applications of the area; is able to complete routine assigned tasks with minimal guidance or supervision.

Proficient: Demonstrates solid understanding of knowledge, principles, and/or applications of the area; is able to complete moderately complex projects, with minimal guidance and supervision.

Advanced: Demonstrates advanced understanding of knowledge, principles, and/or applications of the area; is able to understand complex ideas and make recommendations in this area. May guide efforts of others on the team.

Master: Demonstrates mastery of knowledge, principles, and/or applications of the area; is able to lead and direct others in this area.

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