

**DIRECTOR, REGULATORY AND GOVERNMENTAL RELATIONS & CHIEF RISK/COMPLIANCE OFFICER
LEE COUNTY ELECTRIC COOPERATIVE (LCEC)
NORTH FORT MYERS, FLORIDA**

PROFILE

The Director, Regulatory and Governmental Relations, who also serves as the Company's Chief Risk/Compliance Officer (Director), oversees LCEC risk management and regulatory/governmental interfaces as well as compliance programs related to fiduciary, operational, technical and regulatory requirements. The position leads corporate activities aimed at strengthening the LCEC approach to manage risk and maintain a sound control and compliance environment.

The Director also oversees the administration of the LCEC wholesale power agreement and is the primary interface with LCEC's power supplier, Florida Power & Light.



The Director serves as a member of the executive team and is a direct report to LCEC's Chief Executive Officer and supervises direct reports managing key accounts functions (2); overall compliance coordination (1); environment, health and safety (1); and risk management (3). For security, risk and compliance reasons, the Manager of Audit Services and the Head of IT Infrastructure are dotted-line reports to the Director.

REQUIREMENTS

- Identify and monitor various existing and emerging state and federal legal and regulatory requirements with which LCEC must comply.
- Serve as the LCEC primary contact with the Florida Public Service Commission (PSC) and Federal Energy Regulatory Commission on regulatory issues. The PSC regulates cooperatives in Florida on matters of service territory and to review rates to ensure no undue discrimination among rate classes. LCEC's Board is responsible to make final decisions on electric rates.
- Establish programs and procedures to ensure compliance and prevent illegal, unethical and improper conduct.
- Ensure subject programs are communicated and institutionalized throughout the Company.
- Monitor Company compliance with relevant standards and procedures, including applicable NERC standards. LCEC no longer owns and operates regulated transmission assets.
- Report compliance efforts and results to the Board of Trustees and senior management.
- Identify elements of financial, operational, technical, regulatory or enterprise business risk.
- Oversee environmental and occupational health and safety and worker's compensation functions.
- Oversee corporate property and casualty insurance programs and loss claims functions.
- Ensure that identified risks are appropriately considered or addressed.
- Review the Company's existing compliance policies and procedures to identify potential areas of compliance vulnerability and risk.
- Collaborate with the appropriate departments to develop, initiate, maintain and revise policies and procedures designed to avoid or minimize compliance risks.
- Identify new and revised applicable rules, regulations, standards and related trends that are relevant to the Compliance Program and oversee necessary modifications to policies and procedures.
- Provide reports on the operation and progress of compliance efforts.

- Monitor performance of the Compliance Program and related activities with periodic audits, and direct the development and implementation of steps to improve effectiveness.
- Conduct investigations into compliance concerns or allegations, implement appropriate interventions and direct the development and implementation of countermeasures for problematic issues.
- Oversee LCEC key account activities, including project management related to negotiation of franchise agreements with wholesale key accounts.
- Serve as the primary contact for, as well as administer and coordinate activities associated with the LCEC-FPL full requirements wholesale power agreement.
- Act as the LCEC Alternate Director on the Florida Reliability Coordinating Council.
- Ensure that Internal Audit examines and evaluates the adequacy and effectiveness of the organization's system of internal controls and quality of performance.
- Work with Leadership Team to establish and maintain an appropriate compliance culture.
- Maintain effective working relationships with employees and customers at all levels within LCEC. Ensure smooth operations, productive communications, and effective understanding during all interpersonal contacts. Provide current and accurate information to all requesters, courteously and in a timely manner.

A bachelor's degree in a business or technical field and a minimum of fifteen years electric utility experience including primary responsibility for interpreting rules, regulations, policies and contracts and developing, implementing and monitoring compliance strategies is required. An advanced degree in a related field is desired.

Candidates should offer a demonstrated knowledge of and passion for ethical conduct and compliance and strong personal character and commitment to integrity. Demonstrated advanced regulatory interpretative and compliance skills and a minimum of five years of managerial experience are required. Proven competency



in interpersonal skills, communications, self-motivation, visionary thinking and leadership, including strategic participation in the electric utility environment are required. Proven competency in project planning and analytical skills including root cause analysis, process improvement and action plans are required.

It is desired that candidates also offer competency in effectuating positive outcomes when interacting with regulatory and governmental agencies; experience in the development and oversight of workforce teams across departmental barriers; assisting in the rate strategy development process; basic understanding of general business practices, including accounting, auditing and operational practices; business improvement technology or process improvement certification. Experience in a union environment could be beneficial to candidates as could be experience providing presentations to public or elected officials or governing bodies.

Finalist candidates will be required to take a ProfileXT™ assessment test during the interview process.

LCEC

LCEC is a not-for-profit electric distribution cooperative providing reliable and cost competitive electricity to nearly 211,000 customers in Southwest Florida. As part of a local business, LCEC's employees are deeply

involved in economic development, education, the environment and building communities. The organization operates with a keen eye on maintaining a businesslike culture driven by benchmarked performance and process improvement with excellent financial strength with providing quality service to customers as a high priority. Annual key performance indicators, customer satisfaction surveys, employee engagement surveys and open communication opportunities ensure the organization is on-track.

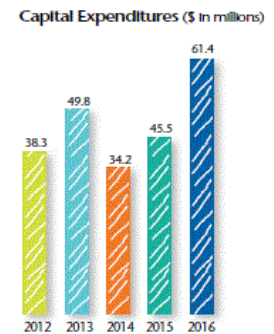
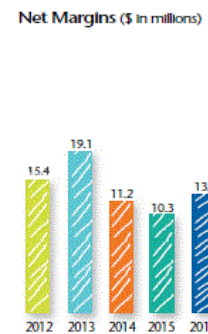
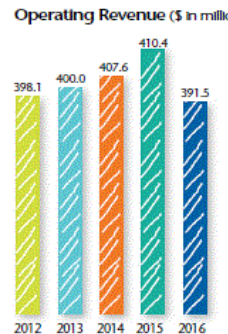
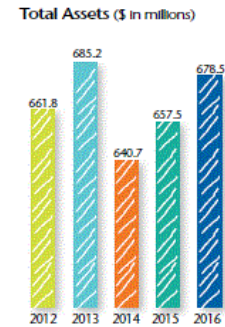
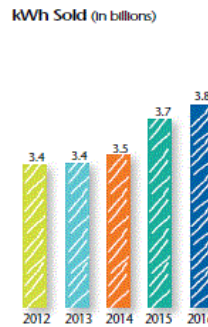
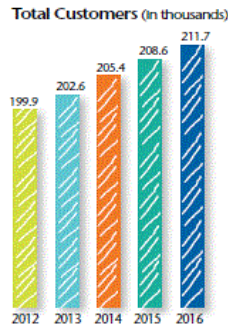
LCEC is one of the largest cooperatives in the United States and one of the largest employers in Lee County, Florida. Cooperative membership is open to all customers within the service territory. LCEC serves customers in Cape Coral, North Fort Myers, Sanibel, Captiva, Pine Island, Everglades City, Immokalee, Marco Island, Ave Maria and parts of Lehigh Acres. The organization’s headquarters remain in North Fort Myers; the location that the cooperative began in 1940.

[LCEC Main Web Site](#)
[2016 Annual Report](#)
[Service Territory](#)

News – [Media Releases](#) - [Newsletters](#)

NORTH FORT MYERS WEB LINKS

[Chamber Site](#)
[Wikipedia Site](#)
[City-Data.com Site](#)
[Facebook Site \(Things to Do in Fort Myers\)](#)
[Zillow Real Estate Site](#)



CONTACT INFORMATION

RESUMES DESIRED IN PDF FORMAT BY JANUARY 1, 2018.

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Scott Fry, Managing Director
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*****OFFICIAL JOB DESCRIPTION FOLLOWS ON THE NEXT PAGE*****

JOB TITLE: Director, Regulatory and Governmental Relations
Chief Risk/Compliance Officer Position Number: D3D002
Department: Compliance FLSA Status: Exempt
Division: Corporate Location: NFM
Work Hours: 8-5, M-F

Position Summary: The Director, Regulatory and Governmental Relations, who also serves as the Company's Chief Risk/Compliance Officer, oversees LCEC risk management and regulatory/governmental interfaces as well as compliance programs related to fiduciary, operational, technical and regulatory requirements. The position leads corporate activities aimed at strengthening the LCEC approach to manage risk and maintain a sound control and compliance environment. The Director also oversees the administration of the LCEC wholesale power agreement and is the primary interface with LCEC's power supplier, Florida Power & Light.

Position Responsibilities:

- Identify and monitor various existing and emerging legal and regulatory requirements with which LCEC must comply.
- Serve as the LCEC primary contact with the Florida Public Service Commission and Federal Energy Regulatory Commission on regulatory issues.
- Establish programs and procedures to ensure compliance and prevent illegal, unethical and improper conduct.
- Ensure subject programs are communicated and institutionalized throughout the Company.
- Monitor Company compliance with relevant standards and procedures, including applicable NERC standards.
- Report compliance efforts and results to the Board of Trustees and senior management.
- Identify elements of financial, operational, technical, regulatory or enterprise business risk.
- Oversee environmental and occupational health and safety and worker's compensation functions.
- Oversee corporate property and casualty insurance programs and loss claims functions.
- Ensure that identified risks are appropriately considered or addressed.
- Review the Company's existing compliance policies and procedures to identify potential areas of compliance vulnerability and risk.
- Collaborate with the appropriate department(s) to develop, initiate, maintain and revise policies and procedures designed to avoid or minimize compliance risks.
- Identify new and revised applicable rules, regulations, standards and related trends that are relevant to the Compliance Program and oversee necessary modifications to policies and procedures.
- Provide reports on the operation and progress of compliance efforts.
- Monitor performance of the Compliance Program and related activities with periodic audits, and direct the development and implementation of steps to improve effectiveness.
- Conduct investigations into compliance concerns or allegations, implement appropriate interventions and direct the development and implementation of countermeasures for problematic issues.
- Oversee LCEC key account activities.
- Serve as the primary contact for, as well as administer and coordinate activities associated with the LCEC-FPL full requirements wholesale power agreement.
- Act as the LCEC Alternate Director on the Florida Reliability Coordinating Council.
- Ensure that Internal Audit examines and evaluates the adequacy and effectiveness of the organization's system of internal controls and quality of performance.
- Work with Leadership Team to establish and maintain an appropriate compliance culture.
- Maintain effective working relationships with employees and customers at all levels within LCEC. Ensure smooth operations, productive communications, and effective understanding

during all interpersonal contacts. Provide current and accurate information to all requesters, courteously and in a timely manner.

Required Qualifications:

- Bachelor's degree in a business or technical field and a minimum of fifteen (15) years' electric utility experience including primary responsibility for interpreting rules, regulations, policies and contracts and developing, implementing and monitoring compliance strategies.
- Demonstrated knowledge of and passion for ethical conduct and compliance and strong personal character and commitment to integrity.
- Demonstrated advanced regulatory interpretative and compliance skills.
- A minimum of five (5) years of managerial experience.
- Proven competency in interpersonal skills, communications, self-motivation, visionary thinking and leadership.
- Proven competency in project planning and analytical skills including root cause, process improvement and action plans.
- Demonstrated competency in strategic thinking.

Desired Qualifications:

- Advanced degree in a business or technical field.
- Competency in effectuating positive outcomes when interacting with regulatory and governmental agencies.
- Experience in the development and oversight of workforce teams across departmental barriers.
- Basic understanding of general business practices, including accounting, auditing and operational practices.
- Business improvement technology or process improvement certification.

Budget and Personnel:

Payroll: \$400,000

Operating Budget: \$100,000

Personnel: Ten (10)

Physical Demands and Work Environment: The physical demands and work environment characteristics described here 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:

- Physical Demands:** Sitting at a desk referencing regulatory material and working at a computer terminal. Periodically will be required to lift and carry up to 25 pounds.
- Work Environment:** 85% Air-Conditioned Office; 10% Field Activities; 5% Driving

This position is responsible for complying with all policies of LCEC, including but not limited to Equal Opportunity and Affirmative Action, Harassment and Ethics. Non-compliance may result in disciplinary action up to and including termination.