

DRAFT – May 21, 2018

COMPLIANCE/AUDIT JOB FAMILY – COMPLIANCE/AUDIT MANAGEMENT

JOB FAMILY CONCEPT: The Compliance/Audit job family is responsible for monitoring, evaluating and assessing regulatory compliance, internal controls, and recommending changes in procedures. This family monitors and promotes compliance with University policies and regulations and those of external related entities. Functions in this job family include but are not limited to participating in the development of policies to promote compliance; assessing risk of non-compliance and recommending measures to mitigate risks; investigating allegations of non-compliance; and providing compliance and regulatory training.

COMPLIANCE/AUDIT MANAGEMENT

The Compliance Management role oversees a major compliance area for the University. This role develops and executes compliance strategy. Promotes consistency and coordination among compliance programs and collaborates with compliance officials internal and external to the university. This role requires a deep knowledge of complex laws and regulations impacting a broad spectrum of operations.

The **Compliance/Audit Management** role is distinguished from the **Compliance/Audit Officer** role in that it primarily exists to provide management and direction or for the unit and compliance/audit functions.

The **Compliance/Audit Management** role is distinguished from other management roles by its primary focus on compliance/audit functions.

COMPLIANCE/AUDIT MANAGEMENT 1

Typical Functions

- Responsible for the operational management, administrative direction, and coordination of staff and activities of a compliance related unit.
- Develops strategic plan or participates in strategic planning and staffing decisions.
- Provides guidance and direction to staff in areas of compliance.
- Aligns staff work plans with overall strategies and goals.
- Serve as a liaison with other departments to ensure compliance.
- Lead or collaborate in the development, implementation and execution of compliance strategy for campus or system.
- Monitor external and internal risks to ensure policies and practices adhere to applicable regulations.
- Provides guidance to mitigate potential risks or conflict.
- Serves as formal and informal resource for university community.
- Responsible for developing reports on activity.
- Provide and oversee education, training, and guidance to university community.
- Coordinate interactions with applicable entities, including handling internal/external reviews.
- Establish priorities based on relative compliance risk.

Complexity and Decision Making Authority

Operates under limited supervision.

Knowledge, Skills, and Abilities

Demonstrated experience and ability in analyzing and applying internal controls and practical compliance methodologies



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regarding compliance with applicable regulations or best practices. Ability to conduct reviews, compose clear, concise, timely and professionally written reports, confidential information, and independently and efficiently manage a significant caseload. Excellent written and oral communication skills in addition to strong computer skills. Demonstrated ability to lead and work as part of a team.

Education/Experience

Advanced degree in related field or equivalent combination of education, training and experience. Typically requires five to seven years of progressively responsible work experience in related field.

Certification/License

Additional professional certification or licensure may be required.

COMPLIANCE/AUDIT MANAGEMENT 2

Typical Functions

- Work with leadership to develop, implement and execute compliance strategy system-wide.
- Monitor internal and external risks to ensure adherence to applicable regulations.
- Provides information, analysis, and recommendations to leadership
- Proactively identifies areas of vulnerability and offers plans to avoid potential issues.
- Manages budget and resources for the office.

Complexity and Decision Making Authority

Provides guidance to senior leadership. Decisions and recommendations have far-reaching impact.

Knowledge, Skills, and Abilities

Proven ability to clearly articulate complex ideas to a general audience, in multiple forums. Demonstrated experience and ability in analyzing and applying internal controls and practical compliance methodologies regarding compliance with applicable regulations or best practices. Ability to conduct reviews, compose clear, concise, timely and professionally written reports, confidential information, and independently and efficiently manage a significant caseload.

Education/Experience

Advanced degree in related field or equivalent combination of education, training and experience. Typically requires eight to ten years of progressively responsible work experience in related field.

Certification/License

Additional professional certification or licensure may be required.