

DRAFT – June 15, 2018

COMPLIANCE/AUDIT JOB FAMILY – COMPLIANCE/AUDIT OFFICER

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 with recommended corrective actions; and providing compliance and regulatory training.

COMPLIANCE/AUDIT OFFICER

The Compliance/Audit Officer demonstrates a level of experience and depth of knowledge and may interface with internal/external entities by submitting reports and other required documentation, and handling on-site audits.

The **Compliance/Audit Officer** role is distinguished from the **Compliance/Audit Management** role in that it is primarily responsible for implementation of compliance/audit functions and does not primarily exist to provide management and direction or for the unit.

COMPLIANCE/AUDIT OFFICER 1

Typical Functions

- Evaluates compliance related functions and activities to ensure the university is following applicable regulations.
- Researches, executes, and documents reviews for compliance.
- Interviews subjects to gather information.
- Collect, analyze, and interpret data to prepare recommendations.
- Draws conclusions based on investigation and makes recommendations for changes or resolutions.
- Provides guidance to mitigate potential risks or conflict.
- Participates in negotiating resolutions.
- Prepare reports and may present findings to a variety of constituents or audiences.
- Develop, provide input to, and deliver training programs related to compliance.
- Assists in the design and implementation of the compliance communications.
- Participates in compliance risk assessments, auditing and monitoring as needed.
- Responds to potentially serious compliance issues and violations.
- Monitors, and as necessary, coordinates compliance activities with facilities and divisions to remain abreast of the status of all compliance activities and to identify trends.
- May serve as a liaison with internal and external constituents.

Complexity and Decision Making Authority

Knowledge, Skills, and Abilities

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. Excellent written and oral communication skills in addition to strong computer skills. Demonstrated ability to work as part of a team or individually.

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Education/Experience

Bachelor's Degree or equivalent combination of education, training, and experience. Typically requires two to three years of related work experience.

Certification/License

Additional professional certification or licensure may be required.

COMPLIANCE/AUDIT OFFICER 2

Typical Functions

- Participates in negotiating with clients and may independently make recommendations for resolutions.
- Analyzes and makes recommendations for the quality assurance and improvement programs.
- Informs clients of risk, makes recommendations to resolve risk, and consult with departments on the resolution of recommendations.
- Serves as a resource and offer guidance in area of specialization.
- Coordinate with external agencies.
- Reviews information from investigations to ensure resolutions have been satisfactorily been implemented or wither further action is necessary.
- May act on behalf of supervisor on higher profile compliance investigations and proceedings.
- May supervise the work of others performing similar work in a specialty area.
- May be responsible for managing project and reviewing the work of level 1 officers to ensure compliance with professional standards.

Complexity and Decision Making Authority

Positions at this level are typically assigned cases with a higher level of complexity or scope. Problems are resolved independently. Management is involved when decisions are high profile or not routine.

Knowledge, Skills, and Abilities

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. Project management and leadership skills. Demonstrated ability to supervise and provide work direction.

Education/Experience

Bachelor's degree in related field or equivalent combination of education, training and experience. Typically requires three to four years of progressively responsible work experience in related field. Advanced degree is preferred.

Certification/License

Additional professional certification or licensure may be required.