



Assistant Director, Institutional Compliance Job Description

JOB INFORMATION

<i>Job Code:</i>	133533
<i>Job Title:</i>	Assistant Director, Institutional Compliance
<i>FLSA Status:</i>	Exempt
<i>Supervisory:</i>	May lead one or more employees and/or students performing similar work.; May oversee student, temporary and/or resource workers.
<i>Job Family:</i>	Compliance Office
<i>Job Family Group:</i>	Compliance
<i>Management Level:</i>	5 Manager

JOB SUMMARY

Assists in implementing a comprehensive compliance program for the university that includes training, policies, monitoring, data analytics, reporting and enforcement. Oversees the monitoring and quality assurance elements of the institutional compliance program, including establishing appropriate metrics, data analytics and reports to ensure compliance with federal, state, local and administrative requirements. Staffs the USC Compliance and Ethics Committee and works with compliance liaisons to ensure consistent approaches to compliance efforts. Partners with business leadership to conduct compliance risk assessments to determine areas of focus and develop corrective action plans. Identifies and develops tools and data analytics to assist departments with compliance and supports departments in driving implementation of corrective action and risk mitigation plans. Conducts investigations of possible compliance violations. Researches ethical, compliance, legal and other regulatory requirements applicable to institution. Monitors compliance trends for review/adoption by the compliance and ethics program. Fosters within the university a culture that promotes integrity and ethical behavior in all institutional compliance matters. Coordinates with Department of Audit Services, Human Resources, Faculty Affairs, Risk Management, Office of General Counsel and other units, as appropriate.

JOB QUALIFICATIONS:

Education

<i>Req</i>	<i>Pref</i>	<i>Degree</i>	<i>Field of Study</i>	
X		Bachelor's degree		
X		Bachelor's degree	Business Administration	Or
X		Bachelor's degree	Law	Or
X		Bachelor's degree	Finance	Or
X		Bachelor's degree	in related field(s)	
	X	Master's degree		Or
	X	Juris Doctor (JD)		

Additional Education

Check here if experience may substitute for some of the above education.

Combined experience/education as substitute for minimum education

Work Experience

<i>Req</i>	<i>Pref</i>	<i>Work Experience</i>	<i>Experience Level</i>	
X		5 years		
	X	7 years		

Additional Work Experience

Check here if education may substitute for some of the above work experience.

Combined experience/education as substitute for minimum work experience

Knowledge, Skills and Abilities

Req	Pref	Functional Skills
X		Degree in business administration, legal studies, finance, audit or similar ethics and compliance education.
X		Experience working in compliance.
X		Experience working with regulatory requirements, policies and codes of conduct.
X		Demonstrated administrative skills and project management skills, particularly among cross-functional teams.
X		Demonstrated skill in influencing management within multiple business, cultural and interpersonal environment.
X		Ability to build consensus and communicate effectively with all levels of personnel with a combination of tenacity and tact.
X		Possesses analytical skills and the ability to demonstrate critical thinking.
X		Ability to balance and effectively prioritize numerous projects covering a variety of subject matters.
X		Outstanding verbal and written communication skills.
X		Proficient with Microsoft PowerPoint and Excel.

Certifications

Req	Pref	Select Certifications	Enter Additional Certifications
X			Certified Compliance & Ethics Professional (CCEP) certification from Compliance Certification Board, or commitment to obtain such within 1 year post-hire.

Other Job Factors

JOB ACCOUNTABILITIES

	% Time	Essential	Marginal	N/A
Assists in implementing a comprehensive compliance program for the university that includes training, policies, monitoring, data analytics, reporting and enforcement. Conducts investigations of possible compliance violations.				
Oversees the monitoring and quality assurance elements of the institutional compliance program, including establishing appropriate metrics, data analytics and reports to ensure compliance with federal, state, local and administrative requirements.				
Staffs the USC Compliance and Ethics Committee and works with compliance liaisons to ensure consistent approaches to compliance efforts. Partners with business leadership to conduct compliance risk assessments to determine areas of focus and develop corrective action plans. Identifies and develops tools and data analytics to assist departments with compliance and supports departments in driving implementation of corrective action and risk mitigation plans.				
Conducts reviews and investigations of potential compliance violations, creates written reports and makes recommendations for corrective action, when appropriate.				
Assists with developing training, outreach and other resources to help promote a culture of ethics and compliance across the company.				
Develops, reviews and modifies existing policies and procedures, as needed, by working with relevant departments, units, faculty and administration.				
Researches and identifies compliance trends and establishes education and communication programs accordingly. Maintains currency with university policies, applicable state, federal and administrative laws, regulations and trends impacting institutional compliance.				
Participates and provides leadership in associations and committees both internal and external to the university.				

Other Requirements

<i>Essential:</i>	<i>Emergency Response/Recovery</i>	<i>Essential:</i>	<i>Mandated Reporter</i>
	In the event of an emergency, the employee holding this position is required to “report to duty” in accordance with the university’s Emergency Operations Plan and/or the employee’s department’s emergency response and/or recovery plans. Familiarity with those plans and regular training to implement those plans is required. During or immediately following an emergency, the employee will be notified to assist in the emergency response efforts, and mobilize other staff members if needed.		A mandated reporter who in his or her professional capacity has knowledge of, or reasonably suspects a person who is under the age of 18 years, elderly, or a dependent adult has been the victim of abuse or neglect must report the suspected incident. The reporter must contact a designated agency immediately or as soon as practically possible by telephone or in writing within 36 hours. By virtue of the associated job duties, this position qualifies as a mandated reporter as required by state law and USC’s policy at: https://policy.usc.edu/mandated-reporters/
<i>Campus Security Authority (CSA)</i>			<i>Essential:</i>
By virtue of the associated job duties, this position qualifies as a Campus Security Authority as required by law and USC’s policy at: https://dps.usc.edu/alerts/clery/			Yes

ACKNOWLEDGMENTS

The above statements reflect the essential and non-essential functions as necessary to describe the principle contents of the job. They are not intended to be a complete statement of all work requirements or duties that may be required of the position. I understand that I may be asked to perform other duties as assigned. USC reserves the right to add or change duties at any time.

The University of Southern California is an Equal Opportunity Employer. USC prohibits discrimination on any basis protected under federal, state, or local law, regulation, or ordinance or university policies. All employment decisions are based on individual qualifications and business need.

I acknowledge receipt of this job description and its associated physical requirements. I have read and understand the job description and job requirements and agree to abide by their contents. I realize that duties may be requested of me that are not specifically stated herein. I understand that I will be expected to adjust to potential fluctuations in work volume. I understand that, if I have any questions about the essential functions or expectations of my position, my supervisor and/or HR partner are available to discuss them with me.

Print Employee Name

Signature

Date

Print Manager Name

Signature

Date

This job description describes the general nature and level of work required by the position. It is not intended to be an all-inclusive list of qualifications, skills, duties, responsibilities or working conditions of the job. The job description is subject to change with or without notice, and Management reserves the right to add, modify or remove any qualification or duty. Nothing in this job description changes the existing at-will employment relationship between the university and the employee occupying the position.