



## JOB INFORMATION

<i>Job Code:</i>	133539
<i>Job Title:</i>	Director, Institutional Compliance
<i>FLSA Status:</i>	Exempt
<i>Supervisory:</i>	Manages through multiple layers of subordinate supervisors.
<i>Job Family:</i>	Compliance Office
<i>Job Family Group:</i>	Compliance
<i>Management Level:</i>	6 Manager
Director, Institutional Compliance	

## JOB SUMMARY

Directs a comprehensive compliance program, prioritizing risk and shifting between multiple business areas, initiatives and objectives across the university.

## JOB QUALIFICATIONS:

### Education

<i>Req</i>	<i>Pref</i>	<i>Degree</i>	<i>Field of Study</i>	
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	Business Administration	Or
	X	Master's degree	in related field(s)	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		7 years	administrative experience in compliance.	
	X	10 years	administrative experience in compliance, managing staff and subject matter experts.	

### 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		Extensive experience with regulatory requirements, policies and codes of conduct.
X		Demonstrated experience influencing senior executives and organizational change management plans.
X		Exemplary written and oral communication skills with the ability to translate ethical, legal, and compliance concepts with tact.
X		Excellent project management and decision making skills.
X		Ability to manage numerous highly confidential, complex, and politically sensitive matters.
X		Proven business savvy and interpersonal skills.
	X	Demonstrated knowledge of enterprise risk management tools/platforms.
	X	Proven experience establishing, developing and/or enhancing compliance frameworks.
	X	Extensive knowledge and/or understanding of numerous cultural issues (e.g., immigration, socioeconomic, LGBTQIA+).
	X	Familiarity with Environmental, Social and Governance factors and global regulatory requirements.
	X	Multilingual communication skills, fluent in Spanish and/or other languages beyond English.

## Certifications

Req	Pref	Select Certifications	Enter Additional Certifications
X			Certified Compliance and Ethics Professional certification, or earned within a year post hire.

## Other Job Factors

## JOB ACCOUNTABILITIES

	% Time	Essential	Marginal	N/A
Directs a comprehensive, university-wide compliance program with multiple functions (e.g., training, monitoring, policy development and enforcement). Conducts reviews of compliance violations while incorporating quality assurance oversight and feedback. Establishes and maintains appropriate metrics and data analytics to ensure compliance with all administrative and local, state, and federal requirements. Prepares and presents regular reports to senior leadership.				
Oversees compliance committees to ensure consistency with all efforts/initiatives. Conducts risk assessments to determine areas needing attention and develops improvement plans. Ensures balanced budgets in all managed areas. Assesses, recommends and implements both short-term and long-term efforts to improve compliance operations. Participates and provides leadership in other relevant internal/external associations and committees.				
Directs the development of systems, tools and analytics that support departments implementing compliance improvement plans and risk mitigation plans. Develops training materials and outreach resources promoting a culture of ethics and compliance across the university. Oversees lifecycle of institutional policies. Reviews and modifies existing policies and procedures as needed, in collaboration with relevant leaders and stakeholders. Manages documentation and allocates resources to assist with audits as needed.				
Stays current with emerging compliance and higher education issues and trends, preparing and sharing communications accordingly. Regularly interacts with senior executives on matters of significance, advising and recommending actions regarding sensitive issues and monitoring compliance thereafter. Partners with general counsel on risk mitigation and management, as appropriate and necessary.				
Promotes and ensures compliance with all requirements, policies and laws, in partnership with numerous relevant stakeholders (e.g., faculty/staff, HR partners). Mentors, counsels and, if necessary, disciplines and/or terminates employees as required. Encourages a workplace culture where all employees are valued, value others and have the opportunity to contribute through their ideas, words and actions, in accordance with the USC Code of Ethics.				

## 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: <a href="https://policy.usc.edu/mandated-reporters/">https://policy.usc.edu/mandated-reporters/</a>
<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: <a href="https://dps.usc.edu/alerts/clery/">https://dps.usc.edu/alerts/clery/</a>			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.