



**DATE ISSUED:** 03/19  
**FLSA:** Exempt  
**PTO:** VCS

## **JOB DESCRIPTION**

### **TITLE**

Director of Compliance

### **JOB SUMMARY**

The Director of Compliance is responsible for planning, developing, organizing and controlling compliance activities and serving as the focal point for the University Compliance Program. The position will work closely with departments, programs and individuals throughout the University to establish a culture of compliance with state, federal and university policies and regulations, directing an effective system of legal and compliance controls which provides reasonable assurance that university operations are effective and efficient, assets are safeguarded; financial information is reliable and compliant with applicable laws, regulations, policies and procedures. The Director of Compliance is also responsible for the administration and management of the University's policy program. The Compliance Director, in collaboration with policy owners, develops, oversees and maintains the University's policy process; facilitates the development, review, approval, and maintenance of University-wide policies by partnering with policy owners to create, revise, and distribute University-wide policies; and acts as the official repository and point-of-contact regarding University-wide policies. Work is performed under minimal supervision and performance is based on effective operation of the administrative function. The performance evaluation is conducted through the performance evaluation system and in accordance with the University Policies & Procedures.

### **ORGANIZATIONAL RELATIONSHIPS**

**Reports to:** Associate Vice President and General Counsel

**Supervises:** Compliance professionals and administrative staff as assigned.

### **ESSENTIAL DUTIES - May include, but not limited to the following:**

- Directs the implementation of a complex centralized compliance program including working with representatives from various departments and monitors regulatory development in order to serve as an in-house expert on compliance matters.
- Directs an effective system of compliance controls which provides reasonable assurance that university operations are effective and efficient, assets are safeguarded; financial

information is reliable and compliant with applicable laws, regulations, policies and procedures.

- Directs the development, revision, deletion, review, and approval of all university policy actions while serving in a technical writer capacity to provide quality control and standardized submissions, consistent with university approved formats.
- Develops and maintains strong working relationships with policy owners, and senior leadership to facilitate the establishment and maintenance of updated policies and procedures and handbooks.
- Disseminates policies and regulations and university rules and procedures electronically.
- Maintains and administers the university policy website, policy management software, policy library, and archives. Creates and maintains on-line support and tracking tools of related information.
- Develops, initiates, maintains, and revises compliance policies, procedures and practices for the general operation of the university and its related activities to prevent illegal, unethical, or improper conduct and maintains the university compliance website.
- Maintains and implements a "Compliance Plan" which documents the compliance structure and outlines the procedures to assess and assure program effectiveness.
- Maintains and implements a comprehensive group of checklists and management tools that document requirements for policy management and university compliance.
- Communicates changes in compliance standards of affected university departments and their implementation; directs compliance training within those university departments as needed; maintains updated compliance information on the university website.
- Reports on a periodic basis to the Associate Vice President for Compliance & General Counsel on the progress of the implementation and establishment of policy management and compliance programs.
- Creates and maintains a hotline type system that allows employees to report instances of suspected non-compliance in a manner that assures no retaliation.
- Performs compliance program investigations and responds to alleged violations of rules, regulations, policies and procedures by evaluating and initiating investigative procedures. Develops a system for uniform handling of such violations.
- Identifies potential areas of compliance vulnerability and risk; develops and implements corrective action plans for the resolution of problematic issues, and provides general guidance on how to avoid or deal with similar situations in the future.
- Communicates and interacts with state, federal and/or private organizations, including but not necessarily limited to the Texas Attorney General's Office, the EEOC, OFCCP, DOL, TWC, TCHR, NCAA, OCR, athletic conferences, and similar agencies, regarding compliance and regulatory dealings.
- Participates in compliance risk assessments.
- Directs the Compliance Office and policy management activities and provides status reports to the Associate Vice President for Compliance and General Counsel.
- Ensures timely implementation of all university policy management and compliance requirements and best practice recommendations.
- Provides an effective institution-wide compliance training program.

**ADDITIONAL DUTIES**

Performs other duties as requested.

**EDUCATION**

Bachelor's degree required. Master's or J.D. degree, preferred.

**EXPERIENCE**

Five years' experience with collegiate, state or federal governmental or related environments. Must be familiar with federal and state laws and regulations related to higher education. Must demonstrate knowledge of federal and state Compliance, Equal Opportunity, Title IX, ADA and other nondiscrimination and educational opportunity laws, rules, and regulations. Experience with writing policies and procedures. Experience delivering training on various regulatory or legal issues.

**REQUIREMENT**

Regular and reliable attendance at the University during regular scheduled days and work hours is an essential function of this position.

**KNOWLEDGE, SKILLS, AND ABILITIES - The following are essential:**

- Ability to perform analytic thinking and attention to detail to detect patterns in data and derive improvement measures.
- Ability to handle confidential and sensitive matters with discretion and neutrality.
- Ability to negotiate and resolve highly sensitive, complex and/or unprecedented problems.
- Ability to plan, direct, and evaluate a complex operation, using human resources, time, funds, and other resources for the accomplishment of long-term and short-term goals of the institution.
- Ability to establish and maintain effective work relationships with administrators, students, faculty, staff, and the public.
- Ability to provide administrative guidance within area of responsibility, providing direct training and supervision as needed.
- Ability to apply budgetary and fiscal planning techniques within financial constraints.
- Ability to organize work effectively, conceptualize and prioritize objectives and exercise independent judgment based on an understanding of organizational policies and activities.
- Ability to integrate resources, policies, and information for the determination of procedures, solutions, and other outcomes.
- Ability to communicate effectively orally, by phone, in person, and in writing.

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- Must have the ability to make effective and persuasive speeches and presentations on controversial or complex topics to the Board and the university community.
- Ability to use a personal computer and other office equipment, including related university software and email.

### **PHYSICAL DEMANDS**

The physical demands described in the Essential Duties and below are representative of those that must be met by an employee to successfully perform the essential duties of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential duties.

The employee may be required to travel. Hours outside the normal workday may be required.

### **WORK ENVIRONMENT**

All employees are responsible for maintaining an environment that is free from discrimination, intimidation, harassment, including sexual harassment. Work is normally performed in a typical interior work environment.

### **SAFETY**

TWU promotes a safe working environment. Employees are responsible for completing assigned tasks safely and efficiently, and supervisors are responsible for creating and maintaining a safe work environment. Employees must report any unsafe work conditions or practices, as well as any near-miss incidents, to their supervisor and Risk Management. Supervisors and employees should ensure that injury/accident reports are submitted to the Office of Human Resources and Risk Management within 24 hours of the incident.

**Employee Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Employee Printed Name:** \_\_\_\_\_

***Texas Woman's University strives to provide an educational environment that affirms the rights and dignity of each individual, fosters diversity, and encourages a respect for the differences among persons. Discrimination or harassment of any kind is considered inappropriate.***

***Texas Woman's University is committed to equal opportunity in employment and education and does not discriminate on the basis of race, color, religion, gender, sex,***

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***sexual orientation, ethnic origin, age, veteran's status, or against qualified disabled persons.***

***All positions at Texas Woman's University are deemed security sensitive requiring background checks.***