UNIVERSITY OF MINNESOTA POSITION ANNOUNCEMENT
Chief Compliance Officer

The University of Minnesota invites applications and nominations for the position of Chief Compliance Officer. By partnering with leaders and staff across 31 compliance areas, the Chief Compliance Officer provides strategic leadership and oversight of all compliance-related activities across the University of Minnesota’s five campuses. The Chief Compliance Officer directs and manages all aspects of the Office of Institutional Compliance, which, in addition to compliance, includes the University’s administrative policy program, the conflict of interest program and the President’s delegations of authority program. The office includes nine professional and administrative staff members who comprise 8.5 full time equivalent positions. The ideal candidate will be a visionary, strategic, and inclusive leader committed to the highest standards of excellence.

The Chief Compliance Officer reports to the President through the Chief of Staff and is a member of the President’s Senior Leadership Team. The Chief Compliance Officer also reports through the Chief of Staff to the Audit and Compliance Committee of the Board of Regents.

Responsibilities:

The Chief Compliance Officer provides independent oversight and coordination of an institutional compliance program that promotes a culture of compliance and the highest standards of ethics, integrity and responsibility within the University community. The University’s institutional compliance program is based on the components of an effective compliance program articulated in the US Federal Sentencing Guidelines.

Specifically, duties include:

Compliance Program

• Monitoring the internal and external compliance environments to identify potential risks and vulnerabilities across the system and assure that the University is compliant with federal, state, and local laws, rules, and regulations, as well as institutional policies.

• Consulting with senior leadership about institutional priorities in mitigating compliance risks and advising senior leaders, faculty governance and compliance partners on balancing administrative burden while maintaining risk-appropriate compliance activities.

• Building collaborative relationships and establishing a regular process for reporting with compliance partners across the University that represent units with compliance responsibilities, including the General Counsel’s Office; Office of Internal Audit; Office of Equal Opportunity and Affirmative Action; University Health and Safety, including the University Health and Safety; Health Information Privacy and Compliance Office; Academic Health Center; Office of the Vice President for Research, which includes Human Research Protection Program, the Institutional Review Board and the Institutional Animal Care and Use Committee; Office of Information Technology; Athletics Compliance; and the Office of Financial Aid, among others.

• Advising senior leaders on the operation and effectiveness of the University’s compliance efforts to the President, Board of Regents Audit and Compliance Committee, Executive
Oversight Compliance Committee and other stakeholders, in coordination with the General Counsel’s Office.

- Instituting and maintaining an effective compliance communications strategy for the University, including promoting: a) awareness of the Board of Regents Policy: Code of Conduct and promoting an ethical culture; b) value and use of the confidential reporting hotline; and c) understanding of new and existing compliance issues and related policies and procedures.

- Aligning and integrating quality educational and training programming, including oversight and collaboration to develop and implement a new system to track employee participation in such education and training, to ensure that members of the University community understand their compliance responsibilities and the policies, procedures, and legal requirements that are relevant to their work.

- Managing and staffing the Executive Oversight Compliance Committee, including working closely with the chair to develop agendas and advance initiatives.

- Overseeing and managing a confidential reporting structure to receive employee or third party reports regarding known or suspected violations of law or policy, and ensure investigation, tracking, and resolution of those complaints.

- Referring specific compliance problems and concerns for investigation and resolution to the appropriate University units and obtaining legal counsel from the General Counsel’s Office on such matters, as needed.

- Developing a program of periodic reviews of individual compliance partner units in consultation with the Executive Oversight Compliance Committee.

- Developing and implementing strategies to strengthen ethics programing for the University, including drawing from effective programs nationally and consulting with faculty and other stakeholders.

**Conflict of Interest Program**

- Managing a comprehensive program to identify and mitigate individual and institutional conflicts of interest, consistent with University policies: Institutional Conflicts of Interest and Individual Conflicts of Interest.

- Convening conflict of interest review panels and developing and managing conflict of interest plans, a majority of which are created in the context of research by health sciences faculty in the Academic Health Center.

**Policy Program**

- Advising vice presidents and other key policy owners in developing a comprehensive set of policies, procedures, and guidelines designed to manage or address compliance issues, in collaboration with faculty and staff governance bodies.

**Management and leadership**

- Managing the staff and budget of the Office of Institutional Compliance.

- Serving on the President’s Senior Leadership Team.

- Leading other duties and projects as assigned.
**Essential Qualifications:**
- Bachelor's degree with at least 15 years of progressively more responsible work experience, with a minimum of five years managing a compliance program
- Understanding of state and federal laws relating to the field of compliance
- Exceptional written, verbal and interpersonal communication skills
- Exceptional analytical skills
- Ability to work effectively within a highly complex and diverse compliance environment
- Successful record of working effectively and in partnership with individuals who do not report directly but have a shared responsibility for compliance
- Demonstrated record of taking actions that support a commitment to equity, diversity and inclusion
- Supervisory experience and success in leading, empowering, and delegating effectively to a team of professional staff
- Record of successfully developing and implementing new compliance or organizational programming

**Preferred Qualifications:**
- Advanced degree, including J.D.
- Experience working with compliance-related issues in higher education or the public sector
- Demonstrated ability to exercise sound judgment
- Experience interacting with regulators and an understanding of the ever-changing regulatory environment

**Key Leadership Competencies:**
- Innovative
- Drives efficiency and effectiveness
- Thinks strategically
- Aligns resources
- Selects and develops talent
- Motivates and inspires others
- Builds relationships
- Resiliency and courage
- Operates with integrity
- Learns and adapts
- Ability to work as part of a team
- Creative problem solver who develops win-win solutions

**Starting Date:** Negotiable, with a July 2016 start date preferred

**Salary Range:** Commensurate with qualifications and experience

**Appointment Term:** Full-time (100%), 12-month, annually renewable, academic administrative appointment. Annual ("K") appointments are renewable at the discretion of the responsible appointing authority.

**University of Minnesota Academic Classification:** Director 2 (University-wide) #9330

**Applications:** For serious consideration, applications should be submitted by June 3, 2016. Applications will be reviewed upon receipt and accepted until the position is filled. Applications should include a letter addressing your interest and qualifications for the position, a resume, and names, addresses, and telephone numbers of at least three professional references. References will not be contacted without the approval of the candidate.
Applications must be submitted through the University's on-line application system at: https://www.myu.umn.edu/psp/psprd/EMPLOYEE/HRMS/c/HRS_HRAM.HRS_APP_SCHJOB.GBL?Page=HR_S_APP_JBPST&Action=U&FOCUS=Applicant&SiteId=1&JobOpeningId=309825&PostingSeq=1

The University of Minnesota is committed to the policy that all persons shall have equal access to its programs, facilities, and employment without regard to race, color, creed, religion, national origin, sex, age, marital status, disability, public assistance status, veteran status or sexual orientation. This material is also available in alternative formats upon request.