**Compliance Officer**

The Compliance Officer functions as an independent and objective body that reviews and evaluates compliance issues and concerns within the organization. The position ensures that employees are in compliance with the rules and regulations of regulatory agencies, that university and school policies and procedures are being followed, and that behavior in the organization meets established Standards of Conduct.

The Compliance Officer collaborates with other departments, e.g., Risk Management, Internal Audit, Employee Services, to direct compliance issues to appropriate existing channels for investigation and resolution. She consults with the corporate attorney as needed to resolve difficult legal compliance issues.

The Compliance Officer responds to alleged violations of rules, regulations, policies, procedures, and Standards of Conduct by evaluating or recommending the initiation of investigative procedures. She identifies potential areas of compliance vulnerability and risk; develops and implements corrective action plans for resolution of problematic issues, and provides general guidance on how to avoid or deal with similar situations in the future.

The Compliance Officer develops, initiates, maintains and revises policies and procedures for the general operation of the Compliance Program and its related activities to prevent illegal, unethical, or improper conduct. She develops and periodically reviews and updates Standards of Conduct to ensure continuing currency and relevance in providing guidance to management and employees. She monitors, and as necessary, coordinates compliance activities of other departments to remain abreast of the status of all compliance activities and to identify trends. She ensures proper reporting of violations or potential violations to duly authorized enforcement agencies as appropriate and/or required.

The Compliance Officer works with the Human Resources Department and others as appropriate to develop an effective compliance training program, including appropriate introductory training for new employees as well as ongoing training for all employees and managers. And she serves as a final internal resource with which concerned parties may communicate after other formal channels and resources have been exhausted.