A strong and effective compliance program supports both the University’s Code of Business Conduct and its Risk Management Program. These procedures also advance the University’s commitment to the highest standards of compliance and ethics.

**Compliance Liaison.** Vice Chancellors, Deans, Associate Provosts, Directors, and unit heads are responsible for aligning practices with applicable laws, regulations, University policies, and strategic objectives. These individuals will appoint a Compliance Liaison for their area. Liaison responsibilities include:

- Works with unit staff to identify, evaluate, mitigate, and monitor compliance and operations risks in unit operations.
- Conducts periodic audits to ensure appropriate mitigation of risks.
- Gathers data for and responds to periodic risk assessment reports distributed by the Enterprise Risk Management Division.
- Provides annual compliance certifications to the Enterprise Risk Management Division concerning unit efforts to identify, mitigate, and monitor compliance and operations risks in unit operations.
- Presents annual unit reports (and other reports, as needed) at Executive Risk and Compliance Committee risk hearings.
- Trains staff and creates awareness on risk, compliance, and ethics topics.
- Serves as the unit’s point of contact for the Enterprise Risk Management Division.
- Works with the Enterprise Risk Management Division as necessary to fulfill these responsibilities.

**Time Commitment.** It is anticipated that Compliance Liaisons will devote approximately 30-40 hours annually to liaison duties.¹

**Specialized Knowledge and Skills.** To ensure success in the Compliance Liaison role, appointees should have all or most of the following characteristics:

- Knowledge and understanding of unit and University compliance and operations risks
- Demonstrated organizational and prioritization skills
- Experience planning and leading medium to large efforts
- Demonstrated verbal and written communication skills

¹ While we estimate that each liaison will devote approximately 30-40 hours annually to his or her duties, many of the duties will not be new responsibilities since they are likely already vested in one or more employees within the unit.