

Compliance Liaison Overview

Responsible Department: Enterprise Risk Management
Effective: April 16, 2014; last update: June 4, 2020

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. Compliance Liaison responsibilities include:

- Works with unit staff to identify, assess, mitigate, and monitor compliance risks that are present in unit operations.
- Works with the Enterprise Risk Management Department to conduct periodic assessments to ensure appropriate mitigation of compliance risks.
- Provides annual compliance certifications to the Enterprise Risk Management Department concerning unit efforts to identify, assess, mitigate, and monitor compliance risks that are present in unit operations.
- Trains staff, as needed, and creates awareness on risk, compliance, and ethics topics.
- Serves as the unit's point of contact for the Enterprise Risk Management Department.
- Works with the Enterprise Risk Management Department as necessary to fulfill these responsibilities.

Time Commitment

It is anticipated that the Compliance Liaison will devote approximately 30–40 hours annually to liaison duties.

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 risks
- Demonstrated organizational and prioritization skills
- Experience planning and leading medium to large efforts
- Demonstrated verbal and written communication skills