



**Amherst College**  
**Office of Human Resources**

**JOB  
DESCRIPTION**

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Title: Director of Compliance

Department: Office of General Counsel Reports to title: Chief Policy Officer & General Counsel

Full Time: X Part Time: \_\_\_\_\_ Date Prepared: 1/17/20

Job Group & Level: PT-5 Regular Daily Work Schedule: \_ to \_

Pay Type: Weekly \_\_\_\_\_ Monthly X Months Per Year: 12 Hours Per Week: 40

(Summer Months) Months Per Year: \_\_\_\_\_ Hours Per Week:  
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1. Summary of Position:

The Director of Compliance provides direction and oversight of the Amherst College compliance program.

The Director works closely with the Office of General Counsel, the Five College Office of Compliance and Risk Management, and various employees of Amherst College to identify and assess areas of compliance risk and to achieve and maintain compliance with a variety of federal, state, and local laws and regulations.

The Director will support compliance at Amherst College by using innovative and effective methodologies to promote compliance in a collegial – rather than authoritative – manner that recognizes the college’s mission, culture, and shared governance. The Director’s approach will be to focus on compliance and risk management strategies that allow the college to effectively and proactively mitigate risk while simultaneously facilitating the creative energy and motivations of the college – including its students, faculty, and staff.

Additionally, the Director will take appropriate actions to support a diverse workforce and participates in the College’s efforts to create a respectful, inclusive, and welcoming work environment.

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2. Principal Duties and Responsibilities:

Compliance Program (65%)

- Develop, define, implement, and lead the Amherst College compliance program to continue to foster a culture of compliance in which compliance is:

- 1) understood within the broader context of the college's mission;
  - 2) articulated as a natural extension of that mission, and
  - 3) attained in partnership with various stakeholders through a shared recognition that reasonable proactive steps can save money, employee time, and other valuable college resources so that they may be appropriately dedicated to the fundamental educational mission of the college.
- Identify potential areas of compliance vulnerability and risk at Amherst College; develop/implement corrective action plans that suit the culture of the college and respect the principles of shared governance; and provide general guidance and education on how to avoid such vulnerabilities in the future.
  - Collaborate with a wide range of Amherst College administrators, staff, and faculty to increase awareness of the importance of compliance at Amherst College and to effectuate the compliance program.
  - Conduct trainings on a variety of compliance-related topics.
  - Identify and assist in drafting policies and procedures needed to enhance compliance.
  - Develop a network of compliance liaisons with whom to partner within the compliance program.
  - Partner with other subject matter experts to develop the most appropriate methods for maintaining employee awareness of the compliance program and pertinent laws, regulations, policies, and other mandates applicable to Amherst College.
  - Provide updates regarding the compliance program to the Office of General Counsel and other constituencies of the college as directed by the Chief Policy Officer and General Counsel.

#### Enterprise Risk Management (20%)

- Assist the Five College Director of Risk Management and Compliance, the Amherst College Chief Policy Officer and General Counsel, and the Associate General Counsel in leading the college's enterprise risk management program.
- Participate in enterprise risk program meetings.
- Participate in efforts to effectuate the enterprise risk management program through ad hoc committees and other collaborative participation to proactively mitigate risk and facilitate opportunities for the college.

#### Compliance Advising (10%)

- Advise a variety of administrators, staff, and faculty on matters of compliance – in consultation and partnership with the Office of General Counsel, the Five College Office of Compliance and Risk Management, and other relevant subject matter authorities at Amherst College.
- Participate on various committees, task forces, and other collaborative groups where compliance expertise is needed.

5% Performs other duties/functions as requested.

All employees are expected to participate in the College's efforts to create a respectful, inclusive, and welcoming work environment.

### 3. Internal-External Interaction/Communication:

- Conducts complex and frequent operational interactions/communications across the college, including with various administrators, staff, and faculty.

### 4. Education: (include certifications and licenses)

Required:

- Bachelor's degree in law, business, or related field
- Certified Compliance and Ethics Professional (CCEP) or other acceptable designation/certification; or attainment no later than 1 year from date of hire

Preferred:

- J.D., M.B.A., or other advanced degree
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5. Experience: (List specific skills necessary to perform this job)

Required:

- 4 or more years of related work experience.
- Familiarity with laws and regulations affecting institutions of higher education, including, but not limited to: the Higher Education Act, the Higher Education Opportunity Act of 2008, and Program Participation Agreements.
- Strong verbal and written communication skills.
- Demonstrated ability to work collaboratively with a range of individuals across a decentralized environment, assisting in the resolution of issues in a manner that demonstrates strategic thinking and conforms to the highest ethical practices while fostering and enhancing a positive working relationship.
- Attention to detail.
- Ability to comprehend complex legal matters.
- Ability to provide sound advice, exercise good judgment, and make administrative decisions in conformity with existing policies and regulations.

Preferred:

- Experience developing and/or overseeing a compliance program, particularly at a college or university.
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6. Environmental and Physical Demands: (Please describe the work environment and unusual physical demands, i.e. lifting requirements.)

- Heightened visual and mental concentration.
  - Sustained sitting or standing at desks and in meetings.
  - Repetitive motions including motions with hands, wrists, and fingers.
  - Lifting, carrying, pushing, and pulling up to 10 lbs.
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7. Decision Making:

- Ability to work collaboratively with a range of individuals across a decentralized environment.
- Ability to effectively identify and solve problems in vague circumstances and with minimal supervision.
- Ability to work independently; motivate others; and be self-motivated, flexible, versatile, and creative.

- Possess problem-solving ability, strong analytical skills, leadership skills, and the ability to foster strong interpersonal relationships.
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8. Supervision Exercised/Received:

- The Director will receive supervision from the supervisor to ascertain the status of the compliance program and other job responsibilities and ensure collaboration with other subject matter experts on campus and in the Five College Compliance and Risk Management Office.
- Minimal other supervision received.

Supervisory Responsibility: Yes \_\_\_\_\_ No X \_\_\_\_\_

Number of Employees Supervised: 0 \_\_\_\_\_