

VICE PRESIDENT, OFFICE OF AUDIT, COMPLIANCE AND PRIVACY

The [University of Pennsylvania](#) seeks a highly accomplished leader with proven domain expertise and exceptional strategic, operational, and interpersonal skills to join its leadership team as Vice President, Office of Audit, Compliance and Privacy. The Vice President reports operationally to the University's Executive Vice President and Penn Medicine's Senior Vice President and Chief Financial Officer, and also directly reports to the Audit and Finance Committees of the governing boards of the University and of Penn Medicine.

OFFICE OF AUDIT, COMPLIANCE AND PRIVACY

The [Office of Audit, Compliance and Privacy](#) (OACP) is responsible for Penn's integrated, enterprise-wide activities in internal audit, compliance, and privacy. OACP partners with University and Penn Medicine leadership to proactively manage operational, financial, compliance, strategic, and reputational risks; strengthen the University's systems of internal control; and support strong stewardship and accountability at every level.

In internal audit, OACP is the institutional office responsible for enterprise-wide planning and execution of expert services and programs to assess and improve internal controls. In the compliance area, OACP plays a central role in policy development, education, assurance activities, and investigations, collaborating with colleagues that lead many distributed compliance functions across the University and Penn Medicine. In the growing area of privacy, in concert with the Office of General Counsel, OACP provides guidance and advisory services related to the requirements of primary regulatory regimes such as HIPAA and FERPA as well as the increasingly complex space of data governance.

OACP comprises three teams that work collaboratively across their areas of expertise:

- **Internal Audit** is the largest function within OACP. Staff auditors serve as generalists and subject matter experts, with dedicated coverage for high-priority areas. Audits are conducted in accordance with the annual work plan, which is developed through myriad conversations with University and Penn Medicine leadership and management that identify areas of risk, strategic impact, and remediation. Internal Audit supplements its work with outside subject-matter experts as needed.
- **Institutional Compliance** is a second line of defense function and operates in coordination with a decentralized network of Compliance Leads across the University and Penn Medicine. These professionals are embedded in areas such as Research, Athletics, Environmental Health & Radiation Safety, Human Resources, and the Office of the General Counsel, as well as across Penn Medicine's seven hospitals. OACP's compliance team also manages the Confidential Reporting and Help Line for the University and Penn Medicine and provides compliance education and consultation across the enterprise.
- **Privacy** is a second line of defense function for both the University and Penn Medicine. Each entity has a Chief Privacy Officer and dedicated staff who provide guidance on compliance

with FERPA, HIPAA, and other privacy regulations related to students and patients. These teams are frequently consulted for advice on a wide range of privacy matters for which OACP has institutional responsibility.

OACP is a highly regarded function at Penn, supported by a \$7.1 million budget and a staff of 33 professionals. Each of its three core areas operates with dedicated personnel, policies, and business practices. With strong institutional support, deep expertise, and a reputation for integrity and collaboration, OACP is well positioned to continue to contribute to Penn's excellence. The next Vice President will have the opportunity to build on the accomplishments of Greg Pellicano, who has led the office since 2015 with distinction and impact.

OACP's [website](#) provides additional information about its charter and mission, leadership, organizational structure, and areas of responsibility, activity, and authority.

VICE PRESIDENT, OFFICE OF AUDIT, COMPLIANCE AND PRIVACY

The Vice President (VP) provides institutional leadership in shaping the vision, policy, and strategy for internal audit, compliance, and privacy and oversees the execution of this strategy and the day-to-day operations of the OACP.

The VP reports independently to the Audit and Compliance Committees of the University's board of trustees and the governing board of Penn Medicine. The VP also works closely with senior financial and operational leaders to identify and prioritize key audit areas through an annual work plan, engage in special projects, and support broad initiatives such as the assessment of strategic enterprise risks. These efforts inform coordinated responses across functional areas and guide investments in new capabilities and resources. Operationally, the VP reports to the University's Executive Vice President and the Senior Vice President and Chief Financial Officer of Penn Medicine.

The Vice President of Audit, Compliance and Privacy will:

- Lead and direct the internal audit, compliance, and privacy functions across the University and Penn Medicine.
- Oversee a broad portfolio of academic, healthcare, and administrative activities spanning operational, financial, IT, compliance, and privacy risk domains.
- Serve as liaison to the Audit and Compliance Committee Chairs of the University and of Penn Medicine, delivering regular presentations on the activities of each OACP team.
- Oversee the annual risk assessment process and development of the work plans for each of the three OACP teams.
- Monitor emerging risks and trends in the higher education and healthcare sectors, including regulatory and compliance developments.
- Advise University and Penn Medicine leadership on the adequacy of internal controls and governance practices including in the area of billing compliance [partnership w Med]
- Collaborate with the University's Executive Vice President, Penn Medicine's Chief Financial Officer, and the Institutional Risk Committee on enterprise risk management activities.

- Lead and support a high-performing team of 33 professional staff, ensuring their professional development and the maturation of their skills and value-add, as well as building succession plans across the different areas of OACP.
- Remain current on internal policies, external regulations, and developments in areas such as compliance, privacy, financial reporting, cybersecurity, AI, and data governance, etc.
- Promote professional development for OACP staff and represent the University in relevant national associations and forums including Ivy Plus and IIA.

Opportunities and priorities

As Penn navigates the complexities and challenges that surround large, highly ranked institutions with education, research, and patient care missions, the Audit, Compliance, and Privacy areas will make important contributions to the decisions facing executive leadership and governing boards. At this charged moment, the range of emerging and established priorities for the Vice President and OACP include:

- Collaborating with university leadership and head of university-wide management areas to develop Penn's audit and compliance framework to ensure it is both comprehensive enough and agile enough to protect the institution
- Ensuring that executive leadership and the board have the analyses of risk, internal controls, and operational integrity necessary to make confident decisions about strategic direction
- Contributing to the effectiveness of the Institutional Risk Committee as it identifies and prioritizes the analysis, management and mitigation of enterprise risks
- Participating in leadership discussions about Penn's organizational and operational structure and providing guidance on how best to maintain control environments in those management areas as they evolve to best support Penn's mission
- Thinking strategically about how new technologies including AI can inform and advance the work of OACP and how OACP can contribute to Penn's understanding of the opportunities and risks created by these technologies

COMPETENCIES AND QUALIFICATIONS

The ideal candidate will bring:

- A comprehensive grasp of how audit, compliance, and privacy provide opportunities for a complex, decentralized, and mission-driven organization to understand and manage risk, increase operational integrity, and sustain regulatory compliance.
- The relationship and communication skills to engage and lead through influence and domain expertise at all levels of an organization.
- Wisdom, judgment, integrity, discretion, discernment, and integrity, along with the ability to provide strategic counsel.
- A bachelor's degree and a minimum of 15 years of experience in internal audit, compliance, or privacy in a complex institutional or corporate environment or equivalent experience in public accounting with relevant clients.
- Professional certifications such as CPA, CIA, CISA, or other relevant credentials.

- A strong commitment to service, demonstrated leadership and relationship-building skills, and excellent communication and presentation abilities.
- Proven experience in leading high-functioning teams with a commitment to the highest professional standards.

Experience in a research university and/or academic medical center is preferred; however, candidates with relevant experience in other highly regulated, decentralized environments will be considered.

The University of Pennsylvania, the largest private employer in Philadelphia, is a world-renowned leader in education, research, and innovation. This historic Ivy League institution consistently ranks among the top 10 universities in the U.S. News & World Report rankings. Penn's 12 distinguished schools offer a wide range of undergraduate, graduate, and professional education, supported by its unique interdisciplinary approach to teaching and research.

Penn offers a dynamic work environment in the heart of Philadelphia. The urban campus is surrounded by diverse cultural, educational, and recreational opportunities. With its rich history, vibrant neighborhoods, and thriving arts and culinary scenes, Philadelphia is an ideal place to live and work.

The University provides a competitive benefits package that includes outstanding healthcare and tuition benefits for employees and their families, generous retirement plans, professional development opportunities, wellness resources, and more.

TO APPLY

The University of Pennsylvania has retained [Opus Partners](#) to support the recruitment of this position. Craig Smith, Senior Partner; Katie Dean, Partner; and Abigail Maynard, Managing Associate, are leading the search. Confidential inquiries, applications, and nominations should be sent by email to Abigail (abigail.maynard@opuspartners.net). The search process will unfold with the greatest possible attention to candidate confidentiality. Required application materials include a resume and letter of interest. The cover letter should reflect how qualifications and experience match those described in this leadership profile.

THE UNIVERSITY OF PENNSYLVANIA

Founded in 1751, the University of Pennsylvania is a private, non-sectarian Ivy League research university located in Philadelphia. Penn's approximately 5,800 faculty members teach, mentor, and support a diverse student body of about 10,500 undergraduates and 13,700 graduate and professional students. As of fiscal year 2025, Penn has a consolidated operating budget of approximately \$15.7 billion including the University and Penn Medicine, with an academic operating budget of about \$4.7 billion. The University's endowment stood at approximately \$22.3 billion as of June 30, 2024. Penn employs nearly 40,000 staff and faculty across its academic, research, and health system enterprises.

As one of the largest and most complex private American universities—with an eminent school of medicine and a major health system—Penn has become a national model for the integration of teaching, research, and clinical care. *In Principle and Practice* is Penn’s strategic framework, introduced in 2023, that articulates the core values guiding the University’s mission and daily operations. It reflects Penn’s commitment to academic excellence, integrity, innovation, inclusion, and societal impact—principles that shape how the University educates, discovers, and serves. The framework reaffirms Penn’s longstanding values and calls the institution to action in advancing ethical leadership, respect for diverse perspectives, and a forward-looking approach to solving global challenges. Learn more at <https://in-principle-and-practice.upenn.edu>.

The University of Pennsylvania consistently ranks among the top academic recipients of federal research funding in the United States. Faculty-led research initiatives at Penn drive innovation in the greater Philadelphia region and beyond. Discoveries and technologies developed at Penn have led to numerous commercialized products and services, including several approved pharmaceutical therapies. Penn’s research enterprise has been the foundation for more than 100 spinout companies, which collectively have raised well over \$1 billion in investment capital over the past two decades.

Penn operates as a single, integrated nonprofit corporation that encompasses the University, Penn Medicine, and related entities such as the physician practice plan. The institution is governed by a 57-member Board of Trustees. Established in 2001, Penn Medicine is the umbrella organization for the Perelman School of Medicine and the University of Pennsylvania Health System. It oversees the clinical, research, and educational missions of both the medical school and health system. Penn Medicine has its own board, appointed by the University Board of Trustees, with delegated authority and fiduciary responsibilities, and substantial overlap in membership with the University board.

The University of Pennsylvania is an equal opportunity employer. Candidates are considered for employment without regard to race, color, sex, sexual orientation, religion, creed, national origin (including shared ancestry or ethnic characteristics), citizenship status, age, disability, veteran status or any class protected under applicable federal, state or local law.