



EMORY  
UNIVERSITY

**Associate Vice President and Chief Compliance Officer**  
**Position Description**

[Emory University](#) seeks a collaborative and strategic subject-matter expert to serve as the Associate Vice President and University Chief Compliance Officer (AVP/CCO). The AVP/CCO must have a deep understanding of the regulatory landscape governing academic institutions and the ability to enhance and streamline compliance efforts, foster collaboration across organizational boundaries, and drive a culture of proactive risk management while addressing the challenges inherent in a complex, dynamic, and decentralized organization. The AVP/CCO will join the leadership of a newly integrated function positioned at a senior level of University administration to develop a risk-informed approach to managing compliance, ethics, and privacy areas in support of Emory University's mission in education, research, and patient care.

**Emory University**

Emory University, founded in 1836, is one of the country's leading educational and research institutions with over 15,000 undergraduate, graduate, and professional students representing all regions of the United States and more than 100 foreign countries. Emory is recognized internationally for its outstanding liberal arts colleges, graduate and professional schools, and for supporting one of the Southeast's leading healthcare systems. Emory's campus now covers some 650 acres and is a short distance from downtown Atlanta.

Emory's campus in the suburban Atlanta neighborhood of Druid Hills is home to the undergraduate [Emory College of Arts and Sciences](#) as well as the [Nell Hodgson Woodruff School of Nursing](#), [Goizueta Business School](#), [Rollins School of Public Health](#), [Candler School of Theology](#), [Laney Graduate School](#), the [School of Law](#), and the [School of Medicine](#).

First-year students have two options to begin their Emory experience: Emory College or [Oxford College](#), which is located 38 miles east of Atlanta on Emory's original campus in Oxford, Georgia. This campus, only for first- and second-year students, is a unique opportunity for students to be immersed in a traditional liberal arts environment and close-knit community. As juniors, all Oxford students continue to the Atlanta campus, joining their peers and earning degrees from Emory College, the business school, or the nursing school.

Within the larger Emory University organization, the [Robert W. Woodruff Health Sciences Center](#) encompasses components of Emory University responsible for education of health professionals, research affecting health and illness, patient care (through [Emory Healthcare](#) and other partners such as Grady Health Systems and Children's Healthcare of Atlanta), and policies for prevention and treatment of disease.

Emory is the largest private employer in Atlanta, with a full-time workforce of more than 37,000. In addition to its strong cultural influence, alumni leadership, and academic strengths, Emory has a profound impact on metro Atlanta—\$14.8 billion in 2019—creating thousands of jobs, generating millions in tax revenues, undertaking capital investments, and contributing to communities through health care, research, and civic engagement. The city, in turn, connects Emory faculty and students to opportunities for wider networking and partnerships, jobs, research, service, and learning.

Emory's total operating revenue for the consolidated entity for FY23 was w \$8.3 billion, with EHC operating revenue for FY23 at \$5.8 billion. Emory's FY 2023 research equaled \$1.06 billion and the total endowment as of FY23 is \$7.3 billion.

### **Institutional Statement on Diversity**

The Emory community is open to all who have a commitment to the highest ideals of intellectual engagement, critical inquiry, and integrity. We welcome a diversity of gender identities, sexual orientations, abilities, and disabilities, as well as racial, ethnic, cultural, socioeconomic, religious, national, and international backgrounds, believing that the academic and social energy that results from such diversity is essential to advancing knowledge, addressing society's most pressing issues, and attending to the full spectrum of human needs in service to the common good.

### **Office of Ethics and Compliance**

The Office of Ethics and Compliance (OEC) coordinates the efforts of all individuals and units across the campus as they strive to comply with the myriad of laws, regulations, policies, and ethical principles that govern the university.

Operational compliance remains the responsibility of each school, department, or unit, but the OEC serves as a key partner and resource for all units as they fulfill their responsibilities. The OEC engages the university community through the following activities, as examples:

- **Compliance Risk Assessment**  
In coordination with other risk offices, including Enterprise Risk Management and Internal Audit, the OEC proactively assesses compliance risks across the university. This drives the compliance work plan and helps the University determine where to allocate effort and resources for compliance initiatives.
- **Ethics Training and Promoting an Ethical Culture**  
In partnership with the Emory Center for Ethics, the OEC develops and implements ethics trainings, programming, and initiatives to support an ethical culture at Emory. The OEC is also responsible for facilitating Emory's Trust Line.
- **Serving as the Privacy Office**  
The Privacy Office is responsible for the development and oversight of privacy initiatives, including raising awareness of laws and regulations, creating policies and procedures, designing and presenting training programs, monitoring and enforcing policies and laws/regulations, conducting investigations, and providing guidance on issues as they arise. Our current programs include US

laws, such as HIPAA and FERPA, state laws on genetic information and HIV AIDS, and a multitude of new state and international data protection privacy/laws and regulations.

- **Conflict of Interest/Commitment (COI/COC)**

The OCE works across campus to facilitate the COI/COC program for the institution, partnering with key stakeholders, including the Office of Research Administration and School of Medicine.

The OEC is comprised of 5 personnel and has an annual operating budget of \$1.14M million.

The OEC is part of a newly integrated function, led by the University's Vice President and Chief Administrative Officer, that also includes the Internal Audit Division, Enterprise Risk Management, Public Safety and University Data Analytics. The Vice President & Chief Administrative Officer reports to the Executive Vice President for Business & Administration, who is also the Chief Financial Officer of the University, the Chief Financial Officer of Emory Healthcare, and the Vice Chair of the Emory Healthcare Board of Directors.

For more on the OEC's vision, mission, and charter, please see [here](#).

### **The Position**

Reporting to the Vice President and Chief Administrative Officer and to the chair of the Audit and Compliance Committee (ACC) of Emory University's Board of Trustees, the AVP/CCO oversees the execution of the University's compliance strategy and provides day-to-day leadership, direction, and oversight for compliance activities across the University.

The AVP/CCO is responsible for providing leadership, direction, support, and integration of compliance activities through the Office of Ethics and Compliance to support the vision, mission, and values of a large and complex university with a comprehensive academic health center. The AVP/CCO will perform such duties, operating within Emory's Enterprise Risk Management (ERM) framework, implementing, and executing the strategic direction as set forth by the ERM body of work and in close coordination with other partner offices, such as Internal Audit, the Office of General Counsel, Research Administration, and Emory Healthcare Compliance. The collaboration with the compliance function of Emory Healthcare, which reports to Healthcare leadership and governance, is an important partnership. The AVP/CCO also supervises the University's privacy officer.

In close partnership with the AVP and Chief Audit Officer, the AVP/CCO is accountable to and communicates directly with senior university executive leadership, such as the Presidential Leadership Team, as well as with the ACC.

### **Key Opportunities**

The AVP/CCO plays a critical role in fostering a culture of compliance, integrity, and ethical conduct within the institution while navigating the complexities of regulatory compliance in an academic setting. Building relationships and fostering collaboration across departments and business units is essential for effective compliance management.

Emory University's compliance program has been evolving over time; the AVP/CCO has the opportunity to shape and execute key initiatives for the institution and will play a pivotal role in developing and implementing these programs and will work to enhance alignment between Enterprise Risk Management, Internal Audit and Compliance functions. By fostering active collaboration and working synergistically towards common objectives, the AVP/CCO will enhance efficiency and effectiveness in risk management and mitigation.

### **Responsibilities**

In conjunction with the Vice President and Chief Administrative Officer, the AVP/CCO is responsible for:

- Determining the strategic direction and providing leadership, supervision, and execution of a coordinated compliance program within the University's ERM framework.
- Directing and overseeing the compliance strategic planning process and integrating the program's goals with Emory's strategic priorities to include the strategic compliance program updates, review, approval, implementation, and evaluation.
- Monitoring the external environment; federal and state legislative and regulatory agendas; University business processes and activities; internal and/or external reports related to non-compliance; and other relevant areas to evaluate potential areas which might impact the University and require potential risk responses.
- Defining the compliance risk universe for the University. Constructing and executing a risk-based annual compliance work plan to assess, plan, and manage OEC activities to determine whether compliance risks are appropriately mitigated by compliance risk owners.
- Remaining in close contact with partner offices to do so, including Enterprise Risk Management, Internal Audit, Research Compliance, Office of General Counsel, and Emory Healthcare Compliance.
- Facilitating the University's process for creating, maintaining, and reviewing institutional policies; and coordinating the library of university-wide policies and updates to central university-wide policy repository.
- Overseeing Emory's non-research Conflict of Interest (COI) program and working closely with Emory's Research COI office within the Office of Research Administration through which research COI's are addressed.
- Supervising the Privacy Officer for University non-healthcare related privacy issues including HIPAA, FERPA, and international privacy matters such as EU-GDPR.
- Serving as a leader in implementing compliance and ethics programs in partnership with university executive leadership.
- Facilitating and/or executing key University compliance initiatives, including minors on campus training and programing and ethics training and programing.
- Receiving and triaging for investigation, concerns expressed via the Trust Line and other reporting routes, in accordance with applicable University policies and processes; engaging as appropriate and required with other areas at Emory, such as Internal Audit, Human Resources, Emory Healthcare Compliance, the Provost's Office and/or Research Administration.
- Coordinating compliance management committees.

- Performing compliance reviews in collaboration with constituent divisions, departments, and University units for monitoring and managing institutional wide compliance risks, and partnering, as needed, with the Emory Healthcare compliance officer and other stakeholders.
- Coordinating with operational management to identify and assign compliance risk owners that document risk and mitigation activities, which the OEC monitors.
- Coordinating with Internal Audit, General Counsel, academic leadership, and others, as appropriate, to assign and perform investigations of allegations of non-compliance.
- Developing regular standardized reporting, in partnership with the Internal Audit, Research Compliance, Enterprise Risk Management, and Emory Healthcare Compliance leads, to Emory administrative leadership and the Audit and Compliance Committee.
- Developing a communications strategy to heighten awareness of the University's compliance risks, disseminate campus information, and collects stakeholder feedback as appropriate.
- Coordinating with compliance risk owners to support, develop, and deploy an ongoing compliance education and outreach program with operational management that both proactively provides educational resources to key stakeholder groups and promotes ongoing professional development for OEC.
- Documenting, monitoring, and reporting to schools/units the stakeholders reached by education
- Identifying and escalating critical compliance risks to executive leadership with appropriate context, impacts, and consideration of University priorities.
- Balancing OEC's foci and reporting activities among operational, administrative, and academic needs.
- Providing an independent, consultative compliance resource to all levels of Emory through strong communication, listening, and problem-solving skills.
- Fostering a collaborative compliance culture across Emory and enables the compliance community to work strategically by building relationships and partnerships across the University and enhancing the brand of OEC as a value-adding function.
- Demonstrating strong compliance expertise and the ability to quickly learn new regulatory topics to adjust to the evolving compliance landscape and University priorities.
- Facilitating conflict resolution, as needed, emphasizing compliance requirements, demonstrating emotional maturity, and connecting compliance activities and decisions to the University's mission and objectives.
- Empowering OEC's staff to optimize use of their expertise, collaborate, and ensure continuing education and career growth.

#### **Required Skills and Qualifications**

- An advanced degree and 10 years of compliance-related experience.
- A working knowledge of federal and state laws and regulations impacting higher education.
- Experience working in or leading an in-house compliance function.

#### **Preferred Qualifications**

- Higher education and/or academic medical center experience.
- A JD degree.
- Certifications are highly encouraged, such as Certified Compliance and Ethics Professional (CCEP) and/or Certified Risk and Compliance Management Professional (CRCMP).

## **Atlanta, Georgia**

Atlanta, Georgia is a diverse, cosmopolitan, hospitable, tree-filled city of over 5 million people with seasonal climate suitable for nearly year-round outdoor activities. Atlanta is the capital of Georgia and is a major transportation hub benefitting from the presence of [Hartsfield-Jackson International Airport](#), the world's busiest and most-efficient airport. As a city, Atlanta has long maintained a steady growth in both population and cultural diversity. While cost of living is lower than many other major cities, entertainment options are vast including college and professional sports, arts, museums, theaters, shopping, symphony, the world's largest aquarium, and innumerable restaurant options, including a wealth of ethnic cuisines.

Emory sits at the nexus of Atlanta—six miles from downtown, a 15-minute ride to Buckhead, a center of nightlife and shopping, and five miles to Midtown, where the expansive Piedmont Park as well as the city's cultural center lies. The University is located in the stately, historic neighborhood of Druid Hills, with the small-town charm of Decatur and the kitschy, quirky fun of Little Five Points a quick shuttle or car ride away. Residents find the neighborhoods of Atlanta diverse, welcoming, and never dull.

Atlanta is home to 16 Fortune 500 companies (third-highest in the nation) and organizations such as The Carter Center, the Centers for Disease Control and Prevention, the American Cancer Society, CARE, and the National Center for Civil and Human Rights.

## **To Apply**

Emory University has retained [Opus Partners](#) to support the recruitment of this position. Craig Smith, Partner, Kenna Boyd, Associate Partner, and Chris Stadler, Senior Associate, are leading the search. Applications, and nominations should be sent by email to: [chris.stadler@opuspartners.net](mailto:chris.stadler@opuspartners.net). Applications should include a cover letter and resume that should address the candidate's experience related to the responsibilities and qualifications outlined in the position description.

*Emory University is dedicated to providing equal opportunities and equal access to all individuals regardless of race, color, religion, ethnic or national origin, gender, genetic information, age, disability, sexual orientation, gender identity, gender expression, and veteran's status. Emory University does not discriminate in admissions, educational programs, or employment on the basis of any factor stated above or prohibited under applicable law. Students, faculty, and staff are assured of participation in university programs and in the use of facilities without such discrimination. Emory University complies with Executive Order 11246, as amended, Section 503 of the Rehabilitation Act of 1973, the Vietnam Era Veteran's Readjustment Assistance Act, and applicable executive orders, federal and state regulations regarding nondiscrimination, equal opportunity, and affirmative action. Emory University is committed to achieving a diverse workforce through application of its affirmative action, equal opportunity, and nondiscrimination policy in all aspects of employment including recruitment, hiring, promotions, transfers, discipline, terminations, wage and salary administration, benefits, and training. Inquiries regarding this policy should be directed to the Emory University Department of Equity and Inclusion, 201 Dowman Drive, Administration Building, Atlanta, GA 30322. Telephone: 404-727-9867 (V) | 404-712-2049 (TDD).*

*Emory University is committed to providing reasonable accommodations to qualified individuals with disabilities upon request. To request this document in an alternate format or to request a reasonable*

*accommodation, please contact the Department of Accessibility Services at 404-727-9877 (V) | 404-712-2049 (TDD). Please note that one week's advance notice is preferred.*