

Ohio University – Compensation 2014
Job Family: Legal & Compliance | Career Track: Individual Contributor

Monitors and promotes compliance with University policies and regulations imposed by external agencies and local, state, and federal laws. Assesses risk of non-compliance and recommends measures to mitigate these risks. Investigates allegations of non-compliance. Participates in the development of policies to promote compliance. Advises faculty, staff, and senior administrators on compliance/regulatory issues. Provides compliance/regulatory training to University faculty, staff, and students. Provides legal or regulatory advice and representation to faculty, staff, senior administrators, and the board of trustees. LEVEL PROGRESSION ASSUMES INCLUSION OF RESPONSIBILITIES AT LOWER LEVELS.

	Individual Contributor I	Individual Contributor II	Individual Contributor III	Individual Contributor IV	Individual Contributor V
Accountabilities	<p>PEOPLE</p> <p>Supports higher level staff members by providing assistance such as research, information gathering, record keeping, and project coordination.</p> <p>OPERATIONS</p> <p>Researches and gathers information regarding compliance, regulatory, or legal issues at the request of others.</p> <p>Assists in the preparation of compliance, regulatory, or legal documentation and filings to ensure that documents are in the required format and correctly maintained.</p> <p>Maintains data sets, gathers information and runs data analytics for federally mandated reporting.</p>	None specified.	<p>PEOPLE</p> <p>Conducts training for members of the University on legal, compliance, and regulatory issues related to University policies and federal and state regulations.</p> <p>Consults with members of University community on legal and/or compliance/regulatory issues that arise in their area. Interacts with faculty, staff, and students in connection with compliance/regulatory issues.</p> <p>OPERATIONS</p> <p>Monitors compliance, assesses risk, investigates allegations of non-compliance, develops policies, advises and trains University employees, provides legal advice and representation.</p> <p>Serves as legal or regulatory counsel to the University.</p> <p>Identifies areas in which the University may not be compliant and recommends solutions in order to correct gaps.</p> <p>Prepares and files documents such as tax reports and filings, legal disclosures, federal and state compliance reports, and other legal documents.</p> <p>Investigates complaints or areas that have been identified as a concern. Reports on legal and compliance/ regulatory risks in those areas.</p> <p>Assists departments in implementing policies and procedures to ensure compliance and mitigate risk.</p>	<p>PEOPLE</p> <p>Develops and conducts training for senior level University employees on issues of compliance.</p> <p>Advises the University on the legal, regulatory, and compliance implications of new and existing policies.</p> <p>OPERATIONS</p> <p>Serves as a subject matter expert on difficult legal issues, compliance questions, and regulatory concerns.</p> <p>Provides leadership and coordination in the handling of complex or sensitive compliance/regulatory projects.</p> <p>Provides training and expert assistance to other employees handling compliance matters.</p> <p>Acts as a neutral, confidential third party to resolve internal issues. Provides mediation and conflict resolution, when necessary. Provides clients with coaching and advice on problem solving. Clarifies University policies.</p> <p>Serves as senior legal or regulatory counsel to the University</p> <p>Investigates high impact complaints brought against the University and manages responses to complaints, including litigation if necessary.</p> <p>BUDGET</p> <p>Develops and tracks budget.</p>	None specified.

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Requirements	Knowledge and expertise in concepts, principles, and practices of legal processes typically obtained through completion of a paralegal training program and 0 to 2 years of paralegal experience. An equivalent combination of education, training, and experience is acceptable in lieu of the minimum education requirements. Specific knowledge, certifications, and licensure will apply at the position level.	.	Seasoned knowledge and expertise in concepts, principles, and practices of legal, audit, compliance, and/or related fields typically obtained through a Bachelor's degree in in finance, business, or related field and 4 to 6 years of legal, audit, and/or compliance work experience. An equivalent combination of education, training, and experience is acceptable in lieu of the minimum education requirements. Specific knowledge, certifications, and licensure will apply at the position level. A Juris Doctorate and admission to the Ohio State Bar Association may be required for some positions.	Expert knowledge and expertise in theories, concepts, and practices of legal, audit, compliance, and/or related fields typically obtained through a Bachelor's degree in in finance, business, or related field and 6 or more years of legal, audit, and/or compliance work experience. An equivalent combination of education, training, and experience is acceptable in lieu of the minimum education requirements. Specific knowledge, certifications, and licensure will apply at the position level. A Juris Doctorate and admission to the Ohio State Bar Association may be required for some positions.	

FINANCE