

**Position Description for  
Associate Vice President Audit Services and Institutional Compliance  
University of Louisville**

Reports directly to the University of Louisville Board of Trustees Audit Committee and the Executive Vice President and University Provost. The Associate Vice President will independently assess the university risk and control environment. Audit Services will adhere to the Institute of Internal Auditors standards for the professional practice of internal auditing.

Institutional Compliance will be responsible for: developing a risk-based compliance assessment; assisting in the building of compliance consciousness in significant business processes, assisting the administration, faculty, and staff in identifying and reducing compliance risks that could adversely affect the University, and assisting the Compliance Oversight Council (COC) in carrying out all phases of the institutional compliance plan. Other responsibilities include oversight of HIPAA privacy and Information Security.

**Audit Services:**

Prepare a comprehensive, risk-based, annual audit plan that includes, but is not limited to:

- Financial audits
- Audits for compliance with applicable federal and state laws, administrative regulations and statements of policies and procedures
- Operational audits
- Information technology audits

Provide university management with independent analysis and evaluations of the:

- Adequacy and effectiveness of current internal controls
- Reliability and integrity of financial and information systems
- Compliance with university policies and procedures
- The most productive use of the university's economic resources through policies and procedures positioned to safeguard assets

**Institutional Compliance:**

- Coordinate an annual compliance risk assessment and recommend high-risk areas that need oversight to the COC
- Coordinate regular meetings of managers of the various compliance groups
- Report issues and concerns to the COC on a quarterly basis or more often, if needed, and following up on remediation efforts related to COC initiatives
- Investigate matters relating to compliance – special projects
- Create and widely publicize a curriculum for institutional compliance education for employees

- Develop and implement the U of L Institutional Compliance Plan as directed by the COC, including providing oversight and monitoring of its implementation and periodic review
- Maintain, distribute, and promote the University's Code of Conduct and Conflict of Interest policies
- Implement and publicize an anonymous "Compliance Helpline" program for employees to report suspected non-compliant activities and/or seek compliance guidance
- Provide oversight of institutional policies and procedures for exercising due diligence in hiring/screening employees, vendors, and affiliates against appropriate governmental exclusion/debarment/suspension lists to ensure eligibility for hire and/or to participate in University programs