



## JOB INFORMATION

Job Code:	133114
Job Title:	Compliance Investigator
FLSA Status:	Exempt
Supervisory:	
Job Family:	Compliance Office
Job Family Group:	Compliance
Management Level:	7 Individual Contributor

## JOB SUMMARY

Conducts investigations of regulatory compliance matters and/or violations of university policy involving faculty, staff, and/or student employees. Maintains confidential case files and prepares various detailed written reports and letters as necessary, as well as comprehensive reports based on investigative findings. Tracks completion and necessary follow-ups. Identifies trends across campus departments and constituents. Maintains awareness and knowledge of current changes within legal, regulatory, and technology environments which may impact investigatory process.

## JOB QUALIFICATIONS:

### Education

Req	Pref	Degree	Field of Study
X		Bachelor's degree	
	X	Juris Doctor (JD)	

### Additional Education

**Check here if experience may substitute for some of the above education.**

Combined experience/education as substitute for minimum education

### Work Experience

Req	Pref	Work Experience	Experience Level
X		5 years	
	X	10 years	

### Additional Work Experience

**Check here if education may substitute for some of the above work experience.**

Combined experience/education as substitute for minimum work experience

### Knowledge, Skills and Abilities

Req	Pref	Functional Skills
X		Experience conducting compliance-related investigations in higher education institutions or large organizations.
X		Demonstrated abilities analyzing and solving complex problems, and dealing objectively and tactfully with sensitive, confidential information.

## Knowledge, Skills and Abilities

Req	Pref	Functional Skills
	X	Knowledge of federal, state and local regulations and laws, as well as ethical practices and policies.
	X	Direct involvement or familiarity in work related to investigative reporting, journalism or law enforcement practices.

## Other Job Factors

## JOB ACCOUNTABILITIES

	% Time	Essential	Marginal	N/A
Conducts investigations of regulatory compliance matters and/or violations of university policy involving faculty, staff, and/or student employees. Performs independent analyses and evaluations of findings. Prepares investigative plans and timelines, and identifies and interviews parties and witnesses. Gathers, reviews and evaluates reports from various sources. Identifies university policies and/or Code of Conduct provisions relevant to complaints.				
Documents all interviews and meetings held with faculty, staff, students, managers, supervisors and/or senior administrators. Maintains confidential case files and prepares various detailed written reports and letters as necessary, as well as comprehensive reports based on investigative findings. Determines if university policy has been violated. Provides ongoing updates as needed to management. Maintains compliance with related state and federal law on workplace privacy.				
Tracks completion and necessary follow-ups. Identifies trends across campus departments and constituents.				
Maintains awareness and knowledge of current changes within legal, regulatory, and technology environments which may impact investigatory process. Ensures senior management and staff are informed of any changes and updates in a timely manner. Establishes and maintains appropriate network of professional contacts. Maintains membership in appropriate professional organizations and publications. Attends meetings, seminars and conferences and maintains continuity of any required or desirable certifications, if applicable.				

## Other Requirements

Essential:	Emergency Response/Recovery	Essential:	Mandated Reporter
	In the event of an emergency, the employee holding this position is required to "report to duty" in accordance with the university's Emergency Operations Plan and/or the employee's department's emergency response and/or recovery plans. Familiarity with those plans and regular training to implement those plans is required. During or immediately following an emergency, the employee will be notified to assist in the emergency response efforts, and mobilize other staff members if needed.		A mandated reporter who in his or her professional capacity has knowledge of, or reasonably suspects a person who is under the age of 18 years, elderly, or a dependent adult has been the victim of abuse or neglect must report the suspected incident. The reporter must contact a designated agency immediately or as soon as practically possible by telephone or in writing within 36 hours. By virtue of the associated job duties, this position qualifies as a mandated reporter as required by state law and USC's policy at: <a href="https://policy.usc.edu/mandated-reporters/">https://policy.usc.edu/mandated-reporters/</a>
Campus Security Authority (CSA)			Essential:
By virtue of the associated job duties, this position qualifies as a Campus Security Authority as required by law and USC's policy at: <a href="https://dps.usc.edu/alerts/clery/">https://dps.usc.edu/alerts/clery/</a>			Yes

## ACKNOWLEDGMENTS

The above statements reflect the essential and non-essential functions as necessary to describe the principle contents of the job. They are not intended to be a complete statement of all work requirements or duties that may be required of the position. I understand that I may be asked to perform other duties as assigned. USC reserves the right to add or change duties at any time.

The University of Southern California is an Equal Opportunity Employer. USC prohibits discrimination on any basis protected under federal, state, or local law, regulation, or ordinance or university policies. All employment decisions are based on

individual qualifications and business need.

I acknowledge receipt of this job description and its associated physical requirements. I have read and understand the job description and job requirements and agree to abide by their contents. I realize that duties may be requested of me that are not specifically stated herein. I understand that I will be expected to adjust to potential fluctuations in work volume. I understand that, if I have any questions about the essential functions or expectations of my position, my supervisor and/or HR partner are available to discuss them with me.

\_\_\_\_\_  
Print Employee Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Manager Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

This job description describes the general nature and level of work required by the position. It is not intended to be an all-inclusive list of qualifications, skills, duties, responsibilities or working conditions of the job. The job description is subject to change with or without notice, and Management reserves the right to add, modify or remove any qualification or duty. Nothing in this job description changes the existing at-will employment relationship between the university and the employee occupying the position.