



## **Chief Audit and Compliance Officer The University of Tennessee System**

The University of Tennessee System invites applications and nominations for the position of Chief Audit and Compliance Officer. The UT System is Tennessee's land-grant university with campuses at Knoxville, Chattanooga and Martin; the Health Science Center at Memphis; the Space Institute at Tullahoma; the statewide Institute of Agriculture and the Institute for Public Service. UT Knoxville is the state's preeminent public research university and the system's flagship campus. The UT System has a presence in each of the state's 95 counties. Through the combined force of its education, research and outreach, the University serves students, business and industry, schools, governments, organizations and citizens throughout Tennessee.

Statewide, the University of Tennessee provides a range of accessible and affordable educational opportunities at the undergraduate and graduate levels and operates highly regarded professional schools. About 50,000 students are enrolled statewide and more than 10,000 graduate each year. Approximately 370,000 alumni live throughout the state, nation and world.

### **The Opportunity**

The Chief Audit and Compliance Officer is a position created by state statute (TCA 49-14-102) and serves as an officer of the Board of Trustees. The duties are governed, in part, by the Bylaws of the University of Tennessee Board of Trustees. This position serves as the chief audit executive, leading internal audit, and as the chief compliance officer, leading the System's Office of Institutional Compliance and the UT System Title IX function.

The Office of Audit and Compliance is comprised of two functions: internal audit and compliance. Two divisions operate within internal audit: audit and information technology and security assessment, and two divisions operate within compliance: institutional compliance and Title IX. The internal audit function provides the University of Tennessee System with objective, independent appraisals of control processes, risk management, and governance as a service to the UT Board and all levels of management. Institutional compliance reinforces the University's commitment to meeting the highest standards of ethics, integrity, and responsibility, providing independent oversight of the University's compliance programs to assure that the University is compliant with all federal, state, and local laws and regulations as well as University policies.

This position reports directly to the Chair of the Audit and Compliance Committee of the Board of Trustees and administratively to the Chief Financial Officer of the University. This position serves as the staff liaison to the Audit and Compliance Committee, organizes the Committee meetings, and meets regularly with Committee members to keep them apprised of audit, compliance, and risk issues. This position also works directly with the president, chancellors and other senior executives to provide advice and to stay informed of strategic, governance, and risk issues.

This position performs highly varied administrative duties involving the use of independent judgment and professional skills to assist the Audit and Compliance Committee of the Board of Trustees, executive management, and other units of the University of Tennessee System in identifying, avoiding, and mitigating risks. The incumbent leads the Office of Audit and Compliance and its 23-member audit and compliance staff

to accomplish the department's strategic plan and mission. The mission of the System-wide office is to assist the University in achieving its mission by providing objective and independent evaluations to reduce risk and improve operations. The department includes professional staff located at the Knoxville, Chattanooga, Memphis, and Martin campuses.

**Duties and Responsibilities:**

The Chief Audit and Compliance Officer

- plans, directs, and monitors the internal audit function of the University of Tennessee system in compliance with applicable policies, laws, and auditing standards. These responsibilities include developing and executing a comprehensive audit plan each year, using an appropriate risk-based methodology, to be conducted in accordance with applicable professional auditing standards. The position is also responsible for establishing a quality assurance and improvement program to ensure compliance, consistency, and quality in the internal audit function's operations.
- leads the System-wide compliance program in accordance with the Federal Sentencing Guidelines by directing the Office of Institutional Compliance, promoting an ethical environment, promoting and managing the University's Code of Conduct; facilitating campus compliance committees, and managing the UT Compliance Hotline.
- serves as liaison to the Audit and Compliance Committee of the University of Tennessee Board of Trustees, organizing three official committee meetings each year, meeting regularly with members to keep them apprised of audit and compliance issues, providing them copies of all internal audit reports, providing updates on compliance issues, and periodically providing information to the committee on the status and results of the audit plan and the sufficiency of departmental resources.
- meets regularly with staff of the State Comptroller's Office (State Audit and the Investigative Units) and other external parties as a representative of the University; coordinates activities with other internal and external control, risk, and monitoring functions (e.g., UT General Counsel, State Audit, law enforcement, state and federal government officials); participates in the UT President's staff meetings, represents the internal audit and compliance functions on various standing and ad hoc University committees, and meets frequently with various groups of key administrators to inform and advise.
- oversees the coordination of the System-wide Title IX function by working with the System Title IX Coordinator and General Counsel, as well as with the campus Title IX Coordinators, and highlighting key risks to System administrators and the Audit and Compliance Committee.

The position is responsible for all administrative and leadership functions for the Office of Audit and Compliance, including hiring, supervision, and other personnel decisions; managing the departmental budget and resources effectively and efficiently; maintaining a professional audit, compliance, and Title IX staff with sufficient knowledge, skills, experience, and professional certifications to meet the requirements of the UT Internal Audit Charter and other internal and external directives; and overseeing departmental strategic planning.

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## **Qualities and Qualifications**

### **Education:**

The position requires a Bachelor's degree. A CPA (Certified Public Accountant) or CIA (Certified Internal Auditor) is also required. A Master's degree is preferred.

### **Required Experience:**

A minimum of 10 years of professional audit and/or compliance experience in progressively responsible leadership position(s) within a public or private college or university, a local, state or federal agency, an accounting/auditing firm, or with a private industry to include at least six years of supervisory/management experience. Requires in-depth knowledge of internal auditing, internal controls, risk assessment, and investigative processes and an understanding of a complex, multi-location operation and the challenges it faces.

### **Preferred Experience:**

Active participation in professional organizations in a leadership role, speaking, writing articles, or active committee participation. Experience in building, training, and developing strong audit teams of five or more professional staff. Experience in operational/program analysis, quality improvement, and efficiency and effectiveness reviews is a plus. Experience with a large public university system and an understanding of a university environment and its unique characteristics.

### **Desired Knowledge and Skills:**

The Chief Audit and Compliance Officer should be able to demonstrate the following:

knowledge of the operation of a large university system, a four-year university campus including academic areas, athletics, auxiliary services, and student services, and/or an academic health care center.

ability to prepare comprehensive reports and presentations, utilizing excellent verbal and written communication skills, public speaking, and training skills as well as excellent analytical and problem-solving skills.

- in-depth knowledge of current internal audit philosophy and practices and compliance practices, internal controls, risk assessment, and investigative processes.
- skill in preparing or monitoring the preparation of comprehensive reports, interpreting and applying policies and regulations, and conducting interviews. • ability to present training and information on fraud prevention, effective controls, and best practices to faculty, staff, and management.
- supervisory skills including the ability to motivate professional staff at different locations across the state, including educating and promoting a culture of learning while serving as a mentor and advocate.
- ability to organize work and prioritize objectives; to evaluate evidence; to exercise independent judgment; to plan, implement, evaluate and report activities.
- skill in establishing and maintaining working relationships and managing and resolving conflicts with diverse constituencies across UT System.
- a willingness to travel.
- ability to maintain confidentiality and objectivity.
- soundness of judgment necessary to lead the internal audit function and the institutional compliance function.

- ability to effectively interact with and communicate information to senior management and the Audit and Compliance Committee including the ability to be transparent, open, and with a demonstrated commitment to the highest ethical and professional standards.
- ability to be nimble, flexible, and handle ambiguity well.
- ability to communicate and demonstrate interpersonal skills with the ability to influence through personal credibility, integrity, and professionalism.
- a commitment to affirmative action, equal employment opportunity, diversity and inclusion.

### **Procedure for Candidacy**

Recruitment will continue until the position is filled. To receive full consideration, candidates should apply electronically with a cover letter, resume and list of professional references using the following link:

[https://ut.taleo.net/careersection/ut\\_system/jobdetail.ftl?job=18000001T0&tz=GMT-05%3A00](https://ut.taleo.net/careersection/ut_system/jobdetail.ftl?job=18000001T0&tz=GMT-05%3A00)

To make a referral, to express interest in the position or to obtain additional information, please contact:

Ashlie Czyz  
Director of HR Programs and Executive Recruiter  
University of Tennessee System  
826 Andy Holt Tower  
Knoxville, TN 37996  
[aczyz@tennessee.edu](mailto:aczyz@tennessee.edu)

Compensation for this position is designed to attract the best-qualified candidates and includes an attractive benefits package. Additionally, Tennessee residents do not pay a state income tax. For more information on the University of Tennessee's competitive benefits, we invite you to visit <https://hr.tennessee.edu/benefits/>

Please note that Tennessee prides itself on the transparency of its government, and all formal candidacies will be a subject to public inquiry.

*All qualified applicants will receive equal consideration for employment and admission without regard to race, color, national origin, religion, sex, pregnancy, marital status, sexual orientation, gender identity, age, physical or mental disability, genetic information, veteran status, and parental status. In accordance with the requirements of Title VI of the Civil Rights Act of 1964, Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Americans with Disabilities Act of 1990, the University of Tennessee affirmatively states that it does not discriminate on the basis of race, sex, or disability in its education programs and activities, and this policy extends to employment by the university. Inquiries and charges of violation of Title VI (race, color, and national origin), Title IX (sex), Section 504 (disability), the ADA (disability), the Age Discrimination in Employment Act (age), sexual orientation, or veteran status should be directed to the Office of Equity and Diversity, 1840 Melrose Avenue, Knoxville, TN 37996-3560, telephone 865-974-2498. Requests for accommodation of a disability should be directed to the ADA Coordinator at the Office of Equity and Diversity.*