



Administration Job Family: **Compliance Associate Progression**

These generic job title summaries are intended to indicate the kinds of tasks and levels of work complexity that will be required of positions classified to any of these titles and are not intended to be construed as declaring the specific duties and responsibilities of any particular position. The use of particular expressions or illustrations describing functions within a specific job title does not exclude other duties of a similar kind and/or level of complexity. Positions are classified to a particular job title based upon the predominant level of expected work complexity. ***A position that is classified into this title and band must meet the Cornell requirements for exemption under the FLSA.***

GENERIC JOB PROFILE SUMMARIES

Specialty	Compliance Assistant INDIVIDUAL CONTRIBUTOR	Compliance Associate II INDIVIDUAL CONTRIBUTOR	Compliance Associate III INDIVIDUAL CONTRIBUTOR	Compliance Associate IV INDIVIDUAL CONTRIBUTOR	Director Compliance MANAGEMENT
General	Assist in tracking University-wide compliance.	Assist in compliance with federal reporting mandates. Prepare materials for audit responses to state and federal inquiries.	Responsible for compliance with federal reporting mandates. Prepare materials for audit responses to state and federal inquiries.	Responsible for overseeing all university compliance activities relevant to federal, state and institutional requirements including development, documentation, updating and validation of related policies and procedures.	Lead efforts across all divisions of the university to ensure compliance with statutory and regulatory requirements under federal and state laws and to promote best practices.
	Accurately comprehend, interpret, and explain regulations, policies, and procedures to researchers and administrators.	Participate in implementing policies, procedures and guidelines to ensure continued compliance.	Participate in developing and implementing policies, procedures and guidelines to ensure continued compliance.	Pursue best practice standards through comprehensive knowledge of ever-changing national trends and relevant state and federal laws and examine university's policies, practices and procedures accordingly, including drafting and revision of such policies and procedures as needed.	Pursue best practice standards through comprehensive knowledge of ever-changing national trends and relevant state and federal laws and examine university's policies, practices and procedures accordingly, including overseeing drafting and revision of such policies and procedures as needed.
		Assist with education, training, and outreach programming related to compliance as provided both by colleagues at the university and by outside experts.	Present on education, training, and outreach programming related to compliance as provided both by colleagues at the university and by outside experts.	Develop education, training, and outreach programming related to compliance as provided both by colleagues at the university and by outside experts.	Oversee university-wide education, training, and outreach programming related to compliance as provided both by colleagues at the university and by outside experts.

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			Cultivate relationships with campus stakeholders. Develop and maintain relationships and clear lines of communication with campus and community partners.	Cultivate relationships with campus stakeholders. Develop and maintain relationships and clear lines of communication with campus and community partners.	Cultivate relationships with campus stakeholders. Develop and maintain relationships and clear lines of communication with campus and community partners.
					Provide strategic oversight and expert-level guidance related to compliance with federal and state regulations, all within a dynamic and changing environment.
	Facilitate the review and approval of applications to ensure completeness, consistency, and compliance with regulatory requirements and Cornell policies.	Assists with the maintenance of records retention policies based on requirements.	Develop and implement procedures, guidance, templates, forms, systems, training to facilitate compliance in a manner that is efficient, effective and minimizes administrative burden.. May deliver training or present to various audiences as needed.	Develop and implement policies, procedures, guidance, templates, forms, systems, training and any other necessary documents or tools to facilitate compliance in a manner that is efficient, effective and minimizes administrative burden for all. Develop and deliver training to various audiences.	Oversee the development and implementation of policies, procedures, guidance, templates, forms, systems, training and any other necessary documents or tools to facilitate compliance in a manner that is efficient, effective and minimizes administrative burden for all. Develop training and presentations for leadership audiences.
			Implements and maintains internal control mechanisms to assist in identifying gaps in adherence to regulations and policies and procedures resulting in active assistance in evaluating and minimizing gaps.	Develops, implements and maintains internal control mechanisms to assist in identifying gaps in adherence to regulations and policies and procedures resulting in active assistance in evaluating and minimizing gaps.	
Title IX		May provide information to students, staff and faculty and others regarding Policy 6.4 related to sexual and related misconduct.	May provide information to students, staff and faculty and others regarding Policy 6.4 related to sexual and related misconduct.	Provide information to students, staff and faculty and others regarding Policy 6.4 and the Campus Code of Conduct related to discrimination and harassment.	

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			Benchmark best practices, determine opportunities for new/revised policies (and/or programs/initiatives), and provide recommendations.	Continuously identify and integrate best practices in the Title IX investigation arena into knowledge base and practice. Stay abreast of current movements in the field of student conduct investigations by participating in conferences, workshops, etc.	
			Lead and facilitate training of faculty, staff, and students on University policies and procedures related to the institutional response to prohibited discrimination, including sexual and related misconduct; determine training needs, identify delivery approaches, measure the impact of training initiatives and develop action plans to improve training outcomes.	Create and facilitate training/presentations regarding the University's nondiscrimination/harassment policies and identifying and integrating best practices into the complaint resolution process	
				Actively foster and maintain a climate that is supportive of students, faculty and staff.	Work collaboratively and proactively with campus and community partners to create a campus climate that is equitable, safe, and welcoming for all members of the Cornell community.
		Receive reports of sexual and related misconduct, including prohibited discrimination, sexual and gender-based harassment, sexual assault, dating violence, domestic violence, stalking, sexual exploitation, and related retaliation.	Receive reports of sexual and related misconduct, including prohibited discrimination, sexual and gender-based harassment, sexual assault, dating violence, domestic violence, stalking, sexual exploitation, and related retaliation.	Receive complaints of sexual misconduct, sexual harassment, gender-related violence including stalking and intimate partner violence, and protected class discrimination and harassment and related retaliation.	Coordinate and ensure the timely completion of the university's response and investigation of complaints pursuant to Title IX, the Clery Act, NYS 129-Band Policy 6.4.; Monitor outcomes, identify and address patterns, and assess effects on campus climate, including overseeing mandated tracking and reporting.

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		Collaborate with the lead investigator to conduct a prompt, equitable, and impartial administrative investigation into complaints including identifying and interviewing parties and witnesses, and identifying, gathering, and assessing information relevant to the investigation; apply relevant University policy and applicable procedures.	Collaborate with the lead investigator to conduct a prompt, equitable, and impartial administrative investigation into complaints including identifying and interviewing parties and witnesses, and identifying, gathering, and assessing information relevant to the investigation; apply relevant University policy and applicable procedures.	Conduct a prompt, equitable and impartial administrative investigation into complaints including identifying and interviewing parties and identifying, gathering and assessing information relevant to the investigation; apply relevant policies and make findings of fact and recommendations in individual cases and prepare reports; Exercise judgment regarding the resolution of complaints including informal resolution, mediation and formal investigation.	
		May collaborate with on- and off-campus resources including law enforcement and victim services in resolving complaints.	May collaborate with on- and off-campus resources including law enforcement and victim services in resolving complaints.	Collaborate with on and off campus resources including law enforcement and victim services in resolving complaints and work with the Director of Workforce Policy & Labor Relations/Deputy Title IX Coordinator to ensure that the University's processes, responses, and policies are consistent with federal and state laws and regulations related to compliance with non-discrimination laws.	
				Assist in development and implementation of WPLR Office policies, including, for example, appropriate sanctions for Policy 6.4 and Code violations, disciplinary record and file retention policies, and Policy and Code interpretation.	

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		Support the lead investigator to conduct analysis; collaborate with HR Analytics to assist in evaluating and improving program effectiveness and progress toward established goals; assist in climate survey development, implementation, and analysis.	Support the lead investigator to conduct complex analysis; collaborate with HR Analytics to evaluate and improve program effectiveness and progress toward established goals; develop and engage in climate survey development, implementation, and analysis.		
			Develop resources and marketing materials; partner with communications to develop communication tactics and plans.		
Research			Provide direction and guidance to faculty and other researchers, grant and contract officers, technology transfer officers, purchasing representatives, business service center staff, Environmental Health and Safety Officials, and others as necessary to ensure export and import control compliance.	Provide direction and guidance to faculty and other researchers, grant and contract officers, technology transfer officers, purchasing representatives, business service center staff, Environmental Health and Safety Officials, and others as necessary to ensure export and import control compliance.	
			Work closely with researchers, staff, and internal and external stakeholders to assess and address existing and potential export control and compliance issues.	Work closely with researchers, staff, and internal and external stakeholders to assess and address existing and potential export control and compliance issues.	
			Maintain documentation to ensure accurate and updated information and compliance with record keeping requirements. Serve as and primary contact for export control questions and audits.	Maintain documentation to ensure accurate and updated information and compliance with record keeping requirements. Serve as the University's Empowered Official for the Department of State.	

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				Serve as university authorized representative for U.S. Department of Commerce, Bureau of Industry and Security's SNAP-R system.	
			Engage in risk assessment and assist in development of export compliance policies, procedures, and guidance necessary for the university community to understand and comply with export control requirements.	Manage and engage in risk assessment and development of export compliance policies, procedures, and guidance necessary for the university community to understand and comply with export control requirements.	

JOB FACTOR PROFILE TABLE

FACTOR PROFILE	11919 COMPLIANCE ASSISTANT, BAND D NEX	11846 COMPLIANCE ASSOCIATE II, BAND E	11852 COMPLIANCE ASSOCIATE III, BAND F	11902 COMPLIANCE ASSOCIATE IV, BAND G	11903 DIRECTOR COMPLIANCE, BAND H
MINIMUM EDUCATION AND EXPERIENCE EQUIVALENCY	Associate's degree and 2 to 4 years relevant experience or equivalent combination	Bachelor's degree and 2 to 4 years relevant experience or equivalent combination	Bachelor's degree and 3 to 5 years relevant experience or equivalent combination	Bachelor's degree and 5 to 7 years relevant experience or equivalent combination	Bachelor's degree and 7 to 10 years relevant experience or equivalent combination
IMPACT	Extend beyond college/unit	Moderate impact	Moderate impact	Moderate impact	Significant impact
CONTACTS - INSIDE	Coordinate activities Contribute to group projects	Provide guidance to others Coordinate activities	Provide guidance to others Coordinate activities	Persuading others to take a particular course of action Coordinate major activities	Contribute to group projects Coordinate major activities
CONTACTS - OUTSIDE	Conduct somewhat complex business activities Obtain involved information Provide detailed response	Providing/receive guidance, advice or information that must be analyzed and developed by the position	Providing/receive guidance, advice or information that must be analyzed and developed by the position	Providing/receive guidance, advice or information that must be analyzed and developed by the position	Providing/receive guidance, advice or information that must be analyzed and developed by the position
CONTACTS - STUDENTS	Deals with confidential information such as grades, financial records, etc	Limited contact	Limited contact	Limited contact	Limited contact

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SUPERVISION	None	None	None	Day-to-day supervision to employees within the dept	Provide supervisory direction to other supervisors
COMPLEXITY	Focus on an entire field	Frequently adapt, combine, or make improvements to services, products, processes, & programs. Work requires reasoning skills and judgment	Occasionally required to develop new, imaginative or innovative solutions, services, products, process or programs. Work requires sophisticated reasoning skills	Occasionally required to develop new, imaginative or innovative solutions, services, products, process or programs. Work requires sophisticated reasoning skills	Continually required to develop new, imaginative or innovative solutions, services, products, processes, and programs. Work requires conceptual and imaginative thinking in a highly complex and unchartered environment.
LEVEL OF DECISION MAKING	Responsible for making some decisions which require consideration of various criteria.	Responsible for assisting in and influencing decisions concerning policy-setting, research, planning, or students	Responsible for assisting in and influencing decisions concerning policy-setting, research, planning, or students	Responsible for assisting in and influencing decisions concerning policy-setting, research, planning, or students	Responsible for making decisions concerning policy-setting, research, planning or students
FREEDOM OF ACTION	Very general supervision Resolve most problems Accomplish most tasks alone Keep supervisor informed of progress	General supervision Some interpretation of established work policies and procedures is required	General supervision Some interpretation of established work policies and procedures is required	Very general supervision Interpretation of work policies and procedures, and, at times, deviation from standard work practices	Very general supervision Interpretation of work policies and procedures, and, at times, deviation from standard work practices
SUPPORT SKILLS – WRITING	Provides a non-standard response or prepares written material that requires some research	Directly affect an several departments Significant effect on students and employees	Directly affect an several departments Significant effect on students and employees	Directly affect an several departments Significant effect on students and employees	Decisions directly affect more than one college, school, administrative unit.
WORKING CONDITIONS	Normal working conditions including no or limited exposure to hazardous conditions/materials/equipment. Safety gear may sometimes be required.	Normal working conditions including no or limited exposure to hazardous conditions/materials/equipment. Safety gear may sometimes be required.	Normal working conditions including no or limited exposure to hazardous conditions/materials/equipment. Safety gear may sometimes be required.	Normal working conditions including no or limited exposure to hazardous conditions/materials/equipment. Safety gear may sometimes be required.	Normal working conditions including no or limited exposure to hazardous conditions/materials/equipment. Safety gear may sometimes be required.