



December 9, 2015

**TO:** THE DISTRICT BOARD OF TRUSTEES  
of Valencia College

**FROM:** SANFORD C. SHUGART  
President

**RE:** RECRUITMENT PLAN: DIRECTOR, COMPLIANCE AND AUDIT

At its meeting of September 23, 2015, the District Board of Trustees approved a motion to retitle and redesignate appropriately the Internal Auditor position that was vacated by Ms. Undria Stalling, and to authorize the College to initiate the hiring process. Accordingly, the college has developed a new job description and a proposed recruitment plan for this position. As was the case in the past with respect to the Internal Auditor, this new position, with its enhanced and expanded responsibilities, will report directly to the District Board of Trustees. The person selected for this position will work in cooperation with Executive Management to promote the efficiency and effectiveness of internal audit and institutional compliance activities to include formulation, execution, and evaluation of strategic and systemic compliance planning in support of the college's mission. This position will continue to be responsible for all internal audit functions of the college, augmenting but not supplanting the auditing activities of external auditors.

**RECOMMENDED ACTION:**

The President recommends that the District Board of Trustees of Valencia College approve the proposed job description and recruitment plan for the position of Director, Compliance and Audit, as presented.

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President

A handwritten signature in black ink, reading "Sanford C. Shugart", is written over a horizontal line.

## Selection and Hiring Process

### Valencia College Director, Compliance and Audit

**Suggested Committee Members** – One member of the District Board of Trustees, Bill Mallowney, General Counsel, Leslie Golden (Associate General Counsel), Loren Bender (Vice President, Business Operations and Finance), Paul Rooney (Committee chair), Amy Bosley (Vice President, Organizational Development and Human Resources), and Falecia Williams (Campus President, West). The committee members will make a recommendation to hire to the District Board of Trustees for their consideration and approval.

#### Recruitment

- January 11 – January 27, 2016 – Advertise (Open Until Filled)**

#### On-line Review of Application Materials

- Beginning January 11, 2016 - Access to application materials** - will be available to all committee members during the recruitment period.
- January 11- 29, 2016 - On-line review** - All members of the committee must review applications and provide feedback using the applicant review criteria and Veteran's Preference standards (if applicable).
- By January 29, 2016 - Select candidates for interview** – The committee will meet to discuss applicants in relationship to the essential functions of the job, required experience, and knowledge, skills, and abilities as reflected on the job description. Invite candidates to a HireVue interview to allow more inclusivity.

#### Interviews

- February 8-12, 2016 – HireVue interview** – The chair of the committee will invite candidates to a digital interview and send confirmation of the interview arrangements.
- February 22-26, 2016 - On-site interviews and conduct Predictive Index assessment**

#### Selection

- By mid-March, 2016 - Conduct reference checks and make offer** - Human Resources will extend an offer of employment and set up an appointment for the candidate to complete pre-employment paperwork, background check, drug test and/or other pre-employment testing.
- Anticipated start date:** April 1, 2016

## **Director, Compliance and Audit**

Pay Grade: Administrative/Professional Grade D

FLSA Status: Exempt

Position Class Code: PR018

Position Category: Professional

### **General Description**

Reports directly to the District Board of Trustees. Works in cooperation with Executive Management to ensure efficiency and effectiveness of internal audit and compliance activities to include formulation, execution, and evaluation of strategic compliance planning in support of the college's mission. Responsible for all internal audit functions of the college, augmenting but not supplanting, the auditing activities of external auditors.

### **Essential Job Functions**

1. Reviews and appraises the college's system of internal control and recommends improvements wherever needed to strengthen internal control. Designs and implements, in collaboration with Executive Management, systemic institutional compliance initiatives, monitors effectiveness, and manages continuous improvement of these college initiatives.
2. Maintains familiarity of applicable federal and state laws, rules, and regulations and policies of the District Board of Trustees, audits the operation of the college for compliance, and advises the college on matters with respect to compliance and operational improvement.
3. Plans, organizes, and conducts periodic reviews in collaboration with academic divisions/departments. Creates a formal risk assessment plan (approved by the District Board of Trustees) and conducts assessments according to the plan in order to safeguard assets and to prevent fraud.
4. Reviews risk assessment findings with personnel and supervisors of areas being assessed, prepares and presents to appropriate authorities a report on each major assessment, and prepares and presents special reports on internal control deficiencies or other special problems.
5. Performs special internal reviews in cooperation with Executive Management to promote institutional compliance, including without limitation compliance with college policies.
6. Cooperates with personnel from external audit agencies or firms in the discharge of their responsibilities.
7. Assists the Vice President, Business Operations & Finance in developing responses for the President for discrepancies or adverse findings, reported on by external auditors, including recommendations for taking corrective actions where the President deems advisable.
8. Interacts with senior management, faculty, staff, and/or government agency officials, to represent and promote the development of strategic compliance programs. Makes recommendations to enhance and strengthen internal control.
9. Studies on a continuing basis, changes and proposed changes in applicable federal and state laws, rules, and regulations and in a timely manner brings important developments to the attention of appropriate college personnel. Cooperates and advises in the development and implementation of policies and procedures related to compliance and risk management.

10. Reports quarterly to the District Board of Trustees and distributes a brief descriptive statement of work performed during the last quarter.

11. Fulfills all reporting obligations of an identified "Administrator" in the Valencia College policy on Child Abuse Reporting (Policy: 6Hx28:10-09).

12. Performs other duties as assigned.

### **Qualifications**

1. Bachelor's degree from a regionally accredited institution in accounting [required]; master's degree preferred.

2. CPA or CIA certification [preferred].

3. Five years' recent experience in financial or operational auditing. Experience in higher education preferred.

4. This is a position of special trust and requires the individual hired to successfully undergo an extensive criminal background check including finger printing.

5. A demonstrated commitment to diversity.

6. Must be able to perform all of the essential functions of the job with or without reasonable accommodation.

### **Knowledge Skills Abilities**

1. Knowledge of the goals, objectives, structure and operations of a large, open access college.

2. Strong critical thinking skills and the ability to analyze, summarize, and effectively present data.

3. Demonstrated understanding of compliance systems and controls.

4. Strong interpersonal, written and public communication skills and the ability to work effectively with a wide range of constituencies in a diverse community.

5. Ability to use independent judgment and to manage and impart confidential information.

6. Detailed knowledge of laws and regulations affecting business, auditing and compliance operations.

7. Demonstrated ability to develop institutional policies and procedures.

8. Ability to make verbal presentations to administrators and Board of Trustees.

9. Skilled in the use of personal computers; familiar with spreadsheet applications.

10. Ability to work effectively in a diverse community and meet the needs of diverse student populations.