Director of Compliance

Position Details

Date of issue: September, 2026
Position number: 00026830
Department and Campus: General Counsel, University of Maine (UM)
Workplace Location: Hybrid
Collective Bargaining Unit (CBU): Non-Represented
Job family and Wage grade: 09, 07
Essential Employee: No
Fair Labor Standards Act (FLSA): Exempt

Primary Purpose of Position

The Director of Compliance ("Director") leads the University of Maine System's (UMS or System) system-wide compliance program and serves as the founding leader of a new, dedicated compliance office established for this purpose. The Director provides independent oversight, coordination, and support across all UMS institutions, helps establish system-wide compliance standards, monitors institutional compliance risk, and reports periodically to the Audit Committee of the UMS Board of Trustees. The position works with and supports university-level compliance resources to ensure that compliance activity across the System is coordinated, adequately resourced, consistently measured, and visible to System leadership and the Board.

Essential Duties

- Develop, implement, and maintain a system-wide compliance program, including an annual work plan and risk-based priorities, in consultation with the General Counsel and the Board Audit Committee.
- Develop system-wide compliance policies, minimum standards, and procedures that apply across all UMS institutions, while supporting UMS institutions in advancing infrastructure to supplement those baselines.
- Lead the improvement and maintenance of UMS system-wide policy and procedure management framework, and compliance training programs.
- Support a system-wide records retention program and schedule, in coordination with institutional records custodians.

- Conduct periodic, system-wide compliance risk assessments across all institutions and functional areas and use the results to set priorities and allocate resources.
- Develop, coordinate, and deliver compliance training to key stakeholders' system-wide to meet state and federal requirements and industry best practice.
- Monitor institutional compliance activity and metrics, aggregating information from university-level compliance functions into a consolidated view of System-wide risk.
- Prepare and deliver regular reports to the Audit Committee of the UMS Board of Trustees on the status of the compliance program, emerging risks, material incidents, and remediation progress.
- Lead and oversee system-wide compliance reporting mechanisms, ensuring reports of potential misconduct are appropriately triaged, tracked, and, where appropriate, escalated or referred for investigation, consistent with non-retaliation protections.
- Serve as the primary point of coordination for compliance matters with institution-level compliance functions across the System without displacing or directing those offices' day-to-day operations; provide direct, hands-on compliance support to system or university-level compliance personnel scaled to that institution's size, risk profile, and capacity.
- Establish and coordinate a network of compliance liaisons at each UMS institution to support consistent implementation of system-wide standards, training rollout, and incident escalation.
- Maintain access to relevant records, data, systems, and personnel for purposes of compliance monitoring, assessment, reporting, and escalation, consistent with applicable law and institutional policies.
- Provide system-wide oversight, coordination, and support across compliance areas, including: campus safety, timely warning and Clery Act; Title IX and civil rights; policy management and compliance training; records retention and information governance; employment and payroll; athletics; research; IT security and data privacy; HIPAA compliance, conflicts of interest, ethics, and whistleblower protections; immigration and international programs; environmental health and safety; accessibility; financial aid/Title IV; minors on campus; and accreditation and state authorization. This list is expected to evolve as the program matures and as the regulatory landscape changes.

Supervisory Responsibilities

None at this time. This position does not have supervisory authority over compliance staff employed by individual UMS institutions.

Reporting Relationship

Reports to the General Counsel, University of Maine System who guides and supports the day-to-day work of the Director. The Director also reports periodically to the Audit Committee of the UMS Board of Trustees for compliance reporting purposes.

Knowledge, Skills, and Abilities

- Current knowledge of the federal and state laws, regulations, and rules affecting higher education and UMS.
- Ability to identify, assess, and prioritize compliance risk across a broad range of subject areas and institutions.
- Ability to plan, implement, and monitor a system-wide compliance program, including policy development, training, and reporting.
- Well-organized, efficient, technologically competent, and able to manage a broad compliance portfolio across multiple institutions.
- Ability to exercise independent judgment and maintain objectivity when working with programs and personnel outside the Director's direct authority.
- Strong analytical and problem-solving skills, with the ability to navigate complex regulatory and institutional challenges.
- Excellent communication skills, with the ability to convey compliance requirements clearly to diverse audiences and report effectively to a governing board.
- High ethical standards, discretion, and integrity in handling confidential and sensitive matters.
- Ability to build relationships and achieve compliance outcomes across a decentralized, multi-campus system without direct line authority over institutional staff.

Qualifications

Required:

- Bachelor's degree required.
- A minimum of seven to ten years of progressively responsible experience in compliance, audit, risk management, or regulatory affairs, with substantial exposure to higher education, government, healthcare, or another highly regulated environment.
- Demonstrated knowledge of the federal and state regulatory framework applicable to public higher education (e.g., Clery Act, Title IX, FERPA, research compliance, NCAA rules, or comparable regulatory regimes).

- Demonstrated ability to build and lead a compliance program, including risk assessment, policy development, training, monitoring, and reporting to senior leadership or a governing board.
- Strong relationship-building and influence skills, with demonstrated success achieving compliance outcomes in a decentralized or matrixed organization without direct line authority over the staff involved.
- Excellent written and verbal communication skills, including experience preparing materials for and presenting to boards, audit committees, or senior executive leadership.

Preferred:

- J.D., Certified Compliance and Ethics Professional (CCEP), Certified in Healthcare Compliance (CHC), or comparable professional certification.
- Experience in a multi-campus or multi-entity system environment.
- Direct experience in one or more of the position's core focus areas - such as research compliance, NCAA/athletics compliance, or information security and privacy.
- Experience supporting compliance reporting channels or investigations processes, such as a whistleblower program.

Working Conditions

Hybrid work schedule, with regular in-person work at the System Office in Orono, Maine, required. Regular travel across UMS institutions. Some evening or weekend availability may be required to support Board and Audit Committee meetings or to respond to time-sensitive compliance incidents.

Note: University Services reserves the right to assign reasonably related additional duties and to change or reassign job duties.

Signatures

The signatures indicate the employee and immediate supervisor have reviewed the job description and had the opportunity to edit the document.

Employee: ____________________________________ Date: __________________

Immediate Supervisor: __________________________ Date: __________________