

IU Classification Level Guide
Administrative Job Family - Compliance

Positions in this sub family are primarily engaged in work related to compliance, quality assurance and regulatory conformity. To accurately classify a position, specific supporting examples of a position's primary duties and responsibilities in terms of scope, impact and complexity should be provided.

Level	1AD	2AD	3AD	4AD
Level Overview	N/A	<ul style="list-style-type: none"> • A professional contributor without full authority to deviate from established protocols. • Has good grasp of professional principles and skills. • Knows and effectively uses fundamental concepts, practices, and procedures. • Work is of limited scope, typically on smaller, less complex projects / assignments or providing support for larger projects/ assignments. • Assists in fact finding. • Errors generally are limited to unit operations. • May be first line supervisors, often of support staff. 	<ul style="list-style-type: none"> • Fully competent and productive professional contributor, working independently on progressively more complex projects/assignments. • The work may involve program ownership. <p><i>This is intended by design to cover an <u>extensive</u> span of professional work.</i></p> <ul style="list-style-type: none"> • Responsibilities are of a professional or highly analytical nature. • Jobs may have significant technical requirements with a high level of accountability. • Errors may have impact beyond operations but normally are caught and / or corrected prior to signification impact. • May train and direct work of junior staff. 	<ul style="list-style-type: none"> • Generally responsible for managing a department or major function within a department with staff responsibility. <p style="text-align: center;">---OR---</p> <ul style="list-style-type: none"> • Will manage highly complex processes or have diverse and complex responsibilities such as: people or financial management, external relationship development, project / process leadership. <p><i>This must be the primary purpose of the position, not a sporadic assignment. Focus of management is more frequently operational than strategic. The depth of the organizational structure may impact this.</i></p> <ul style="list-style-type: none"> • Frequently contributes to management strategy. • Establishes priorities; assigns functions; maintains quality control. • Errors may have significant impact on operations and / or profits within the organization. • Provides total management and expert guidance to lower level staff.

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Level	1AD	2AD	3AD	4AD
Characteristic Duties		<ul style="list-style-type: none"> • Monitors and assists with compliance activities to ensure legal and regulatory conformity. • Reviews protocols and procedures; audits and tracks studies; investigates and reports violations or regulatory breaches. • Serves as information resource and advises constituents in area of expertise. • Maintains awareness of changes in governing regulations and policies. • Oversees distribution of compliance information. 	<ul style="list-style-type: none"> • Administer activities of a compliance or quality assurance program. • Interprets relevant regulations and University policy. • Develops and oversees the implementation of internal policies and procedures. • Provides counsel and guidance to various on resolving regulatory issues. • May oversee the inspection of buildings, research facilities or laboratories. 	<ul style="list-style-type: none"> • Manages a major compliance area. • Establishes operational and organizational plans. • Exercises full management authority over all professional and support staff. • Responsible and accountable for related compliance and reporting.
Minimum Education/ Experience (or equiv)		Bachelor's plus 0-2 years experience	Bachelor's plus 2 - 4 years experience	Bachelor's plus 5- 8 years experience

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Level	5AD	6AD
Level Overview	<ul style="list-style-type: none"> • Typically manages multiple departments. <p style="text-align: center;">---OR---</p> <ul style="list-style-type: none"> • Responsible for a large unit / dept or multiple functions with a mostly strategic focus. <p><i>Focus of management at this grade is more frequently strategic than operational. The depth of the organizational structure may impact this.</i></p> <ul style="list-style-type: none"> • Determine organizational design. • Often makes final decisions on major in-sourcing / outsourcing. • Develops and manages strategic long range plans and budgets for functional areas or significant projects. • Analyzes the effectiveness of and establishes future direction for functional policies and programs. • Aligns policies, products, and development efforts with strategies. • Errors may have significant impact on operations and / or profits within the organization. 	<ul style="list-style-type: none"> • Manages an unusually large university-wide, campus, or responsibility center function. <p style="text-align: center;">---OR---</p> <ul style="list-style-type: none"> • Oversees a highly specialized unit, which contributes a high level of strategic importance to the university / campus / Responsibility Center. • Unusually heavy impact on financial and business results on a wide scale. • Establishes broad plans and formulates policies for functional area for the university, campus, or responsibility center. • Accountable for long term strategic and budgetary decisions. • Errors have significant impact on future operations of the organization/campus/university.
Decision Making	<ul style="list-style-type: none"> • Typically involved in, if not the initiator of establishing policies, procedures and practices with major impact. • Has latitude in decision making. • Decision making is based on the analysis of problems with little precedent. 	<ul style="list-style-type: none"> • Decision latitude is wide, minimally constrained by university / campus policies.
Characteristic Duties	To be developed.	To be developed.
Minimum Education/ Experience (or equivalent)	To be developed.	To be developed.