



BERKHEMER CLAYTON, INC.
RETAINED EXECUTIVE SEARCH

Chief Compliance Officer

Position Narrative





The Opportunity

Driven by Curiosity. Inspired by Chapman.

Founded in 1861, [Chapman University](#) is a nationally ranked, mid-sized private institution, known for its commitment to excellence through research and innovative teaching, as well as its distinctive approach to personalized education. Chapman has experienced near-unprecedented growth during the last thirty years, evolving from a regional college with approximately 2,000 students to a nationally ranked, R2 comprehensive research university of nearly 10,000 students.

Chapman's academic excellence and momentum as an institution are supported by its healthy financial position, resulting from careful planning and the thoughtful stewardship of university assets. Further, the University's endowment exceeds \$850 million and is amongst the fastest-growing university endowments in the country.

The University recently adopted its current strategic plan, [Our Path to Greatness](#), an ambitious five-year plan that sets a course towards significantly elevating Chapman's academic excellence. The Chapman community is excited about the strategic plan, and their new comprehensive fundraising campaign, [Inspire: The Campaign for Chapman University](#), will help fuel their success. In February 2023, they announced the public phase of the campaign, and as of February 2025, they are already more than \$400 million towards the \$500 million goal.

To help continue this momentum and to realize its future goals, Chapman seeks a thoughtful, strategic, and dynamic leader to serve as its next Chief Compliance Officer (CCO). The successful candidate will bring subject-matter expertise, sound judgment, excellent relationship and management skills, and a strategic understanding of risk-based audit and compliance approaches to their leadership of this important area. This leader will help develop and implement a clear, unified vision for University Compliance that will engage the campus community and position the University for future success.



This is an exceptional opportunity for a proven leader to help support and safeguard a highly recognized institution of academic distinction, and one of the fastest growing universities in the nation.



Position Summary

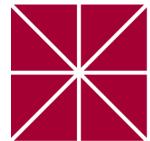
Reporting functionally to the Chair of the Audit Committee of the [Board of Trustees](#), and administratively to the [Executive Vice President and Chief Operating Officer](#), the CCO will serve as a critical member of the University's Administration and Finance Division. This executive will provide leadership and direction for the [Office of Institutional Compliance and Internal Audit](#) to ensure that Chapman University management, in all functional areas, is accountable for maintaining compliance with applicable laws, regulations, and policies. In addition, the CCO will conduct internal investigations, working with Chapman's General Counsel. The CCO will lead multiple finance-related compliance and audit functions that are strategically and operationally essential to the governance of the University and will facilitate a compliance risk assessment process and develop an annual compliance plan and annual compliance report to the Audit Committee of the Board.

The CCO will provide reasonable assurance to [senior management](#) and the Board that there are effective and efficient policies and procedures in place to address financially related issues such as fraud, waste, and abuse, and that these are well understood and respected by all employees. This leader will also ensure that the University is complying with all financial regulatory requirements. The CCO will have the independent authority and autonomy necessary to objectively provide a review and evaluation of internal audit and compliance issues and will advise the Audit Committee and senior management on all ethics, compliance, and audit matters.

All of this shall be accomplished with a high level of professionalism and integrity; hands-on contributions; a transparent, team-oriented, and collaborative style; a passion for the mission of Chapman; and a commitment to serving and safeguarding the University.

Additional areas of responsibility will include, but are not limited to, the following:

- Facilitate the annual compliance risk assessment and maintain and implement a comprehensive and cohesive university compliance and ethics program.
- Present the annual compliance report to the Audit Committee regarding the institution's compliance program and compliance culture.
- Chair the Institutional Compliance Committee, which is made up of compliance stakeholders across the campus to address compliance gaps and regulatory requirements for the University.
- Work with the Office of Research to ensure compliance with federal regulations for federal grants.
- Monitor international, federal, and state regulations to maintain an institutional compliance matrix and work with university administrators and compliance owners to identify and support actions that facilitate compliance within an increasingly complex regulatory environment.
- Administer the annual conflict of interest disclosure process for staff and non-research faculty. Work with the Provost Office and senior management in the development of management plans (if needed).
- Independently investigate and act on matters related to finance-related compliance as well as fraud, waste, and abuse.



Position Summary (CONTINUED)

- In partnership with Human Resources, develop and maintain training and education programs on relevant ethics and compliance issues and systems.
- Oversee the University EthicsPoint hotline. Process complaints and refer concerns to an appropriate university office for review and disposition.
- Together with the Director of Internal Audit, facilitate the annual internal audit risk assessment to identify the highest risks for the University. Additionally, develop the annual internal audit plan and present the annual internal audit report to the Audit Committee.
- Supervise the employees (and student workers) within the Office of Institutional Compliance and Internal Audit.
- Work with internal audit staff to ensure audit objectives are met; adequate, practical coverage is achieved; and conclusions are supported by sufficient, reliable, relevant, and useful information.





Candidate Profile

The successful candidate will be an inclusive, collaborative, transparent, and action-oriented leader with the professional experience and leadership style to inspire respect for a common vision within the compliance and internal audit team, and throughout the Chapman community. This executive will have a solution-oriented service approach, and the interpersonal, communication, organizational, and decision-making skills to work effectively and thrive in a complex, decentralized, constantly evolving, mission-driven enterprise. This leader will bring a servant leadership approach, with the proven ability to build and nurture meaningful, lasting relationships, and foster collaboration and support among a range of constituents across the University.

Chapman seeks candidates with the following qualities, characteristics, and experience. Understanding that each candidate brings relative strengths and areas in need of improvement and that no single candidate will be equally strong in every area, we encourage all who are interested to apply.



Skills and Qualifications

- Advanced knowledge and understanding of the investigation process of high-level/sensitive claims on behalf of a university or organization.
- Excellent organizational, administrative, and project management skills, including the ability to diagnose critical areas that require attention, assimilate information quickly, arrive at conclusions and accurately represent a position to a variety of audiences; and then translate strategies into achievable steps.
- Demonstrated success designing risk-based audit and compliance plans, leading investigations, and presenting to governing boards.
- Deep knowledge of GAAP, International Standards for the Professional Practice of Internal Auditing (2025 revision), DOJ compliance guidance, and federal/state regulations.
- A consultative, supportive, yet independent and objective practice of engaging business units and programs across a mission-oriented enterprise with a distributed, matrixed management structure.
- Proven ability to recruit, develop, and motivate diverse teams; approachable, collaborative, and trustworthy leadership style.
- Outstanding written and verbal communication skills—able to translate complex concepts for non-experts and build consensus among varied stakeholders.



Candidate Profile (CONTINUED)

Preferred Qualifications

- Ten years or more of relevant financial and/or administrative experience, with at least three years in supervisory or senior management capacity, preferably within higher education institutions.
- Advanced degree (e.g. JD, MPS, MBA)
- Professional certifications (one or more): Certified Public Accountant (CPA), Certified Internal Auditor (CIA), Certified Information System Auditor (CISA), Certified Compliance and Ethics Professional (CCEP), and/or Certified Fraud Examiner (CFE).

Personal Attributes

- An action-oriented leader with the ability and willingness to multitask, work independently or as part of a team, to "roll up their sleeves" and do what is needed to keep assignments on track.
- Proven capacity to be adaptable, patient, and flexible, as well as appropriately tenacious with the conviction to stand by difficult decisions and unpopular judgments.
- An approachable, trustworthy, facilitative leadership style with the ability to demonstrate a strong sense of personal accountability.
- A humble, trustworthy, accountable leader, with a genuine interest, strong alignment, and commitment to Chapman's mission.
- A leader with the highest ethical and professional standards, as well as the ability to manage the most sensitive and challenging issues with tact, diplomacy, and discretion.
- A forward-thinking outlook that embraces inclusivity, sustainability, technology, wellness, and a wide range of progressive strategies. A leader who considers issues of inclusion and equality in decision-making and strategic planning and is mindful of biases in their own decision-making and in that of others within the organization.

Location

Just steps away from the city of Orange's Old Towne Plaza, Chapman University is located in Orange County, and is close to Southern California's many beaches, theme parks, and endless options for cultural exploration. Orange County is considered the Gold Coast of California with over 42 miles of coastline with spectacular vistas that have led many to proclaim it the "California Riviera." Orange County features a high quality of life, with excellence in education at all levels, a richly diverse social environment, burgeoning businesses in biotechnology and the health sciences, renowned art festivals, celebrated performing arts centers and virtually unlimited recreational opportunities.



Compensation

The salary range is \$225,000 to \$270,000 annually. Final salary will be based on education, experience, skills relevant to the role and internal equity.

Procedure For Confidential Candidacy

Submit resumes or nominations, with assurance of confidentiality, to Berkhemer Clayton, Inc.:

Chief Compliance Officer
Chapman University
applications@berkhemerclayton.com

Berkhemer Clayton is committed to a process that adheres to all federal and state civil rights laws banning discrimination in institutions of higher education.

Commitment to Culture and Belonging

Chapman University is an equal opportunity employer that provides equal employment opportunities to all individuals, regardless of their protected characteristics. All qualified applicants and employees are encouraged to apply and will receive consideration for employment without regard to race, color, religion, age, sex, sexual orientation, gender identity, gender expression, national origin, ancestry, citizenship status, physical disability, mental disability, medical condition, military and veteran status, marital status, pregnancy, genetic information or any other characteristic protected by state or federal law.

