AUBURN
Human Resources

Institutional Compliance Manager

Job Description

JOB INFORMATION

Job Code	EE21
Job Description Title	Institutional Compliance Manager
Pay Grade	LC12
Range Minimum	$76,560
33rd %	$96,970
Range Midpoint	$107,180
67th %	$117,390
Range Maximum	$137,800
Exemption Status	Exempt
Organizational use restricted to the following divisions	101 VP InstitutionalCompliance&Security
Approved Date:	4/27/2026 4:17:17 PM

JOB FAMILY AND FUNCTION

Job Family:	Legal, Compliance & Audit
Job Function:	Risk Management

JOB SUMMARY

Oversees, coordinates, and manages the University's Conflict of Interest (COI) Program. This role designs, implements, and manages COI procedures; evaluates and resolves disclosures; and directs corrective and preventive actions to ensure compliance across all four divisions of the University—Auburn University (Main Campus), Auburn University at Montgomery, the Alabama Cooperative Extension System, and the Alabama Agricultural Experiment Station.

RESPONSIBILITIES

- Leads the development, implementation, and continuous improvement of the University’s Conflict of Interest (COI) Management Program, ensuring alignment with state laws, federal regulations, and institutional policies. Reviews and evaluates COI disclosures, analyzes potential conflicts, and makes determinations regarding the existence and severity of conflicts. Provides expert guidance to employees, supervisors, and administrators on COI requirements, ethical obligations, and appropriate conflict-management strategies. Develops, drafts, and oversees COI management plans; secures necessary approvals from Deans, Executive Directors, and Vice Presidents; and ensures plans remain current and effective. Interprets State of Alabama Ethics Commission Advisory Opinions and advises University personnel on proper application and compliance expectations.
- Designs, implements, and manages the University’s COI disclosure processes, including creation and maintenance of disclosure questionnaires and related procedures. Collaborates with the Office of General Counsel, Provost’s Office, University Human Resources, and other administrative partners to coordinate institution-wide COI activities and ensures consistent application of policies. Selects, implements, and maintains COI disclosure software; manages vendor relationships; and ensures system functionality, data integrity, and user support.
- Identifies COI-related education and training needs; develops University-specific training materials; and delivers timely, relevant training to employees and leadership. Facilitates communication with the campus community regarding COI expectations, compliance obligations, and ethical standards, while fostering strong relationships with campus constituents to enhance the University’s culture of compliance and ethics.
- Serves as a trusted resource for compliance and ethics guidance, fostering strong relationships with campus stakeholders and promoting a culture of integrity.
- Assists in reviewing compliance areas to ensure required training, documentation, and processes are maintained effectively and efficiently. Recommends corrective actions and improvements to support institutional compliance with federal sentencing guidelines and best practices in ethics and compliance.

The responsibilities listed above show the typical duties for jobs in this classification. Actual tasks may differ depending on the department's needs. Other similar duties may be assigned with discretion of the supervisor. Not every duty will apply to every position, and the amount of time spent on each task can change based on department needs.

SUPERVISORY RESPONSIBILITIES

Supervisory Responsibility	May supervise employees but supervision is not the main focus of the job.

MINIMUM QUALIFICATIONS

To be eligible, an individual must meet all minimum requirements which are representative of the knowledge, skills, and abilities typically expected to be successful in the role. For education and experience, minimum requirements are listed on the top row below. If substitutions are available, they will be listed on subsequent rows and may only to be utilized when the candidate does not meet the minimum requirements.

MINIMUM EDUCATION & EXPERIENCE

Education Level	Focus of Education		Years of Experience	Focus of Experience	
Bachelor's Degree	Business, Law, Communication, Public Administration, or related field.	and	5 years of	experience in a compliance role with responsibility for compliance programs, supported by background in regulatory compliance, healthcare management, research administration, auditing, legal, or a related field. Experience in a higher-education environment—particularly interpreting and applying laws, regulations, and institutional policies—is strongly desired.	

MINIMUM KNOWLEDGE, SKILLS, & ABILITIES

Knowledge of conflict-of-interest laws, ethics regulations, and compliance frameworks	
Knowledge of compliance program design and implementation	
Strong analytical and evaluation skills	
Strong communication and training development skills	
Ability to build and maintain effective relationships with diverse campus stakeholders	
Ability to manage complex compliance systems and workflows	

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/ Desired	
	Certified Compliance & Ethics Professional (CCEP)	within 1 Year	Required	And
	Certified Information Systems Auditor (CISA)		Desired	Or
	Certified Information Privacy Professional (CIPP)		Desired	Or
	Certified Information Privacy Manager (CIPM)		Desired	Or
	Certified Praesidium Guardian_Youth Protection (CPG)		Desired	Or

PHYSICAL DEMANDS & WORKING CONDITIONS

Physical Demands Category:	Other

PHYSICAL DEMANDS

Physical Demand	Never	Rarely	Occasionally	Frequently	Constantly	Weight
Standing			X			
Walking			X			
Sitting				X		
Lifting		X				25 lbs
Climbing			X			
Stooping/ Kneeling/ Crouching			X			
Reaching			X			
Talking					X	
Hearing					X	
Repetitive Motions				X		
Eye/Hand/Foot Coordination				X		

WORKING ENVIRONMENT

Working Condition	Never	Rarely	Occasionally	Frequently	Constantly
Extreme cold		X			
Extreme heat		X			
Humidity			X		
Wet		X			
Noise			X		
Hazards		X			
Temperature Change			X		
Atmospheric Conditions		X			
Vibration		X			

Vision Requirements:

Ability to see information in print and/or electronically.