AUBURN
Human Resources

VP, Institutional Compliance & Security

Job Description

JOB INFORMATION

Job Code	KC08
Job Description Title	VP, Institutional Compliance & Security
Pay Grade	LCUC
Range Minimum	$0
33rd %	$0
Range Midpoint	$0
67th %	$0
Range Maximum	$0
Exemption Status	Exempt
Approved Date:	1/1/1900 12:00:00 AM
Legacy Date Last Edited	9/5/2023

JOB FAMILY AND FUNCTION

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

JOB SUMMARY

The Vice President of Institutional Compliance & Security provides leadership, strategy, and oversight of the Office of Audit, Compliance & Privacy (OACP) serving as the Chief Audit Executive & Chief Compliance Officer with responsibilities covering all four divisions of Auburn University.

RESPONSIBILITIES

- Directs the Internal Audit division as the Chief Audit Executive and develops a risk-based audit plan to be carried out by the Internal Audit Director and staff. Oversees the audit function generally in carrying out their responsibilities for all four divisions of AU.
- Directs the Compliance & Privacy division and develops strategies to implement the best practices for organizational compliance as noted in the federal sentencing guidelines. Provides strategic leadership for the university's privacy program and oversight of its implementation.
- Provides strategic oversight to the operational compliance units within the compliance & privacy division such as HIPAA, Youth Protection, Conflict of Interest/Commitment, and dotted line to Research Security Compliance.
- Oversees investigations conducted by OACP and provides support as needed to other investigations carried out on campus such as athletics compliance, general counsel, research security compliance, Title IX, or other units as needed or requested.
- Serves as the Chief Administrator for the University's anonymous reporting system and ensures items are investigated, reviewed, or distributed to the appropriate area for review.
- Maintains Top Secret National Security Clearance and serves on the university's key management personnel group to provide oversight of classified research issues.
- Chairs the Institutional Compliance Committee for AU and provides strategic leadership for compliance among various distributed compliance units, providing support as needed to address major compliance issues.
- Provides regular communication, education, and advice to the Audit & Compliance Committee of the Board of Trustees, the President, and upper administration on key or emerging risks that may impact Auburn University.
- As the Chief Audit and Compliance Officer, represents Auburn University with respect to audit, compliance & privacy issues to external associations, regulatory groups, industry groups, affiliated entities, or other stakeholders as needed.

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	Supervises others with full supervisory responsibility.

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	Degree in Accounting, Finance, or related field.	and	10 years of	experience in the policies, laws, and practices of internal auditing.	

MINIMUM KNOWLEDGE, SKILLS, & ABILITIES

Knowledge of IIA audit standards, internal audit processes, conducting investigations, best practices of compliance functions, ability to communicate with a broad range of stakeholders, general knowledge of overall compliance risks, state regulations, regulatory guidance such as NCAA or other similar criteria that the university must comply with.

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/ Desired	
Certified Internal Auditor (CIA)		Upon Hire	Required	Or
Certified Public Accountant (CPA)		Upon Hire	Required	

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			up to 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.