AUBURN
Human Resources

Asst Dir, Institutional Compliance

Job Description

JOB INFORMATION

Job Code	KC11
Job Description Title	Asst Dir, Institutional Compliance
Pay Grade	LC13
Range Minimum	$88,040
33rd %	$111,520
Range Midpoint	$123,260
67th %	$135,000
Range Maximum	$158,470
Exemption Status	Exempt
Approved Date:	1/1/1900 12:00:00 AM
Legacy Date Last Edited	4/14/2022

JOB FAMILY AND FUNCTION

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

JOB SUMMARY

Reporting to the Executive Director, Institutional Compliance and Privacy, oversees, coordinates, and manages the University's Conflict of Interest Program, including implementing procedures, evaluating disclosures, and directing corrective actions, for all four divisions of the University (Auburn University Main Campus, Auburn University at Montgomery, Alabama Cooperative Extension System, and Alabama Agricultural Experiment Station).

RESPONSIBILITIES

- Responsible for the development, implementation, maintenance, and adherence to the university's Conflict of Interest Management Program. Reviews disclosures, analyzes situations, and makes determinations as to whether conflicts of interest exist. Provides guidance to employees across the university consistent with state laws and federal regulations. Develops appropriate management plans for conflict situations and ensures plans remain current and adequately manage conflicts. Interprets State of Alabama Ethics Commission Advisory Opinions and advises employees and supervisors how to properly manage conflicts. Drafts and reviews management plans and obtains approval from Deans, Executive Directors, and Vice Presidents.
- Develops, implements, and manages the university's conflict of interest disclosure processes and procedures, including creating the required questionnaire for employee disclosures. Collaborates with the General Counsel's Office, Provost's Office, University Human Resources, and other administrators to coordinate the university-wide conflict of interest disclosure activities. Selects and maintains appropriate software and communicates with third-party vendor to ensure proper functioning of the conflict of interest disclosure system.
- Implements necessary procedures to assess the university's risk in all compliance areas. Provides necessary training to employees across the university who are charged with overseeing specific compliance areas to perform required risk assessments. Develops appropriate compliance methodologies and monitors strategies with specific compliance areas.
- Fosters relationships with campus constituents to enhance the university's culture of compliance and ethics. Identifies education and training needs for employees in specific compliance areas. Evaluates existing training programs and develops university-specific training consistent with university policy, as well as state and federal laws. Conducts relevant and timely compliance training with employees. Facilitates communication with the campus community on compliance and ethics related matters, including duties and obligations mandated by law and policy.
- Assists in managing the university's overall compliance program with the Executive Director. Monitors relevant laws and regulations that pertain to the university and higher education. Reviews all compliance areas to determine whether required training and documentation is being maintained effectively and efficiently. Identifies and recommends corrective actions in the areas needed for the university to comply with federal sentencing guidelines.

RESPONSIBILITIES

- Reviews privacy related matters and provides guidance to employees and university officials on proper privacy and security controls. Reviews, develops, and maintains privacy-related policies and procedures to ensure the necessary protection of personally identifiable information (PII) under the university's control. Evaluates contracts with third-party vendors to ensure adequate protection of university data containing PII. Obtains or negotiates Data Security & Privacy Agreements with vendors to legally protect the university.
- Attends meetings and represents the office in place of the Executive Director upon request. Remains current on the broad scope of current office initiatives.

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 be responsible for training, assisting or assigning tasks to others. May provide input to performance reviews of other employees.

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	
PhD	Juris Doctorate from ABA-accredited law school.	and	6 years of	Experience in regulatory compliance, healthcare management, research management, auditing, legal, or related field. Experience in a higher education environment, particularly interpreting laws and regulations, is desired.	

MINIMUM KNOWLEDGE, SKILLS, & ABILITIES

Knowledge of higher education compliance issues, including extensive understanding of internal controls and compliance methodologies.	And
Knowledge of relevant state and federal laws and regulations.	And
Demonstrated proficiency in verbal and written communication skills and reading comprehension, with the ability to present reasoning behind decisions in a clear and objective manner to clients and upper management.	And
Ability to interpret policies and regulations in a broad range of compliance areas.	And
Advanced understanding of general compliance and monitoring methodologies.	And
Ability to learn and manipulate conflict of interest management software.	

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/ Desired	
	Certified Compliance & Ethics Professional, or related certification, or the ability to obtain	within 1 Year	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					
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.