AUBURN
Human Resources

Assoc VP, for Audit, Compliance, & Privacy

Job Description

JOB INFORMATION

Job Code	KC21
Job Description Title	Assoc VP, for Audit, Compliance, & Privacy
Pay Grade	LC18
Range Minimum	$187,790
33rd %	$250,380
Range Midpoint	$281,680
67th %	$312,980
Range Maximum	$375,570
Exemption Status	Exempt
Organizational use restricted to the following divisions	101 VP InstitutionalCompliance&Security
Approved Date:	1/1/1900 12:00:00 AM
Legacy Date Last Edited	8/22/2023

JOB FAMILY AND FUNCTION

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

JOB SUMMARY

The Associate Vice President (AVP) for Institutional Compliance & Privacy provides oversight, coordination, leadership, and assessment of the University's compliance with federal, state, and local laws and regulations in accordance with the best practices for compliance programs as reflected in the U.S. Federal Sentencing Guidelines. Additionally, this position directs a university-wide privacy program, acting as Chief Privacy Officer (CPO), to establish an institutional privacy strategy in compliance with federal and international law, guided by the Fair Information Practices Principals. This position has responsibilities covering all four divisions of Auburn University

RESPONSIBILITIES

- Serves as the university’s Chief Privacy Officer. Builds a strategic and comprehensive privacy program that defines, develops, maintains, and implements policies and processes that enable consistent, effective privacy practices which minimize risk and ensure the confidentiality of protected health information (PHI), personal identifiable information (PII) whether paper and/or electronic, across all media types. Performs privacy impact assessments to identify privacy-related risks arising from new and existing products and services. Drives privacy program-related awareness/training among employees. Serves as one of 4 members of the university’s "tactical" Information Security Incident Response Team (ISIRT) making initial determination whether a security incident/ data exposure is reportable under the laws of various jurisdictions or best practices. Performs incident-related digital forensics to determine the data compromised or exposed.
- Oversees and directs the activities of the Division of Institutional Compliance & Privacy (DICP) including the Youth Protection Program, the Health Insurance Portability and Accountability Act (HIPAA) Privacy Officer, and the management of the university-wide Conflict of Interest Management Program. Works to improve compliance functions throughout the university through committees, working groups, and site visits. Keeps abreast of, evolving compliance and privacy state, federal, and international laws, regulations, and technological advancements that require university compliance or awareness and works to institutionalize needed policy and awareness changes.
- Leads the OACP Digital Forensics program and provides e-discovery and e-preservation services to Office of General Counsel, Division of Internal Audit, Athletics Compliance, and external counsel as requested and in accordance with university policy and the Office of Audit, Compliance & Privacy Charter. Provides expertise to the Office of General Counsel in sequestering or securing data in response to legal matters/subpoenas or open record requests. Performs highly sensitive digital forensic examinations in support of university legal matters for both in-house and external counsel as well as examinations conducted in support of classified investigations as requested.

RESPONSIBILITIES

- Monitors relevant regulations that pertain to the University. Through research and consultation with distributed compliance officers (employees charged with overseeing specific compliance areas), develops appropriate compliance methodologies for these regulations as well as monitoring strategies. Drafts new University-wide policies and creates programs as needed related to compliance and privacy-related topics. Sets the schedule and agenda for the Institutional Compliance Committee.
- Oversees the development and creation of compliance-related training in support of the AU'sLearning Management System (LMS). Works with subject matter experts develop appropriate course content/objectives for in-house/on-line compliance training. Monitors training programs related to regulatory risk areas to ensure that University employees are educated in policies, procedures, and legal requirements relevant to their work, and coordinates training programs to achieve efficiencies of scale and effectiveness.
- Coordinates and oversees University employee mandated "Statement of Economic Interests" reporting to Alabama Ethics Commission. Identifies individuals who are required to respond, submits this list to the Alabama Ethics Commission. Serves as liaison to the Alabama Ethics Commission.
- Serves as a member of the Key Management Personnel (KMP) team at Auburn (requiring a government security clearance and required for Auburn to perform work at the classified level). Collaborates with the Sr. Vice President for Research & Economic Development to oversee and monitor the work of the Research Security Compliance Office.
- Communicates with the campus community through the OACP website, presentations, and other methods providing relevant and useful compliance and privacy information. Has primary responsibility for the OACP website maintenance. Works to improve the campus culture of compliance and privacy.
- Creates, or directs others to create and implement, web applications to support the work of OACP. Manages the President's Office and Advancement Office Ticket Reconciliation system, which tracks the use of the event tickets and parking passes purchased (football, men’s, and women's basketball) and distributed for university business purposes and donor relationships. Has primary responsibility for oversight and maintenance of the university’s anonymous reporting system. Maintains a restricted access online metadata database of Athletics Department personnel cell phone calls system in support to Athletics Compliance utilized to monitor compliance with NCAA rules. Uses advanced database query skills, and knowledge of university data systems, to extract appropriate data from university databases, and generate reports, in support of Internal Audit, Compliance, and other units as requested.
- Coordinates with senior university administrators, such as the General Counsel, Chief Information Officer, Chief Information Security Officer, to evaluate risk and determine best practices and appropriate internal controls. Regularly attends meetings with university administrators on behalf of the VP Audit, Compliance & Privacy as requested. Provides administrative supervision of the OACP, or other units, in the absence of the Vice President or per the request of the Vice President.

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	Full supervisory responsibility for other employees is a major responsibility and includes training, evaluating, and making or recommending pay, promotion or other employment decisions.

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	in Business, Law, Public Administration, or related field.	and	10 years of	experience interpreting laws and regulations in a regulatory compliance, healthcare management, research management, auditing, or legal environment. Experience conducting digital forensics investigations and e-discovery data retrievals. Experience	

MINIMUM EDUCATION & EXPERIENCE

Education Level	Focus of Education		Years of Experience	Focus of Experience	
				with policy review and development. Experience with web site development and web app development. Experience conducting institutional and programmatic risk assessments. Experience writing structured query language (SQL) data retrievals. Must have at least 2 years experience managing full-time employees. Experience in higher education environment highly preferred.	

MINIMUM KNOWLEDGE, SKILLS, & ABILITIES

Knowledge of higher education compliance issues and internal controls and compliance methodologies.	
Knowledge and ability to interpret laws and regulations in a regulatory compliance, healthcare management, research management, auditing, or legal environment.	
Knowledge of HIPPA, Conflict of Interest, etc. Understanding of best practices for e-discovery and digital forensics practices; website and web app best practices for secure and accessible coding practices.	
Comprehensive knowledge of data integrity/privacy practices and applicable risk and compliance management frameworks. U.S. Government Clearance required.	

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/ Desired	
Certified Compliance & Ethics Professional (CCEP)		Upon Hire	Required	Or
Certified Information Systems Auditor (CISA)		Upon Hire	Required	Or
	CIPP-Certified Information Privacy Professional	Upon Hire	Required	Or
	CIPM-Certified Information Privacy Manager	Upon Hire	Required	Or
EnCase Certified Examiner		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 10 lbs
Climbing			X			

PHYSICAL DEMANDS

Physical Demand	Never	Rarely	Occasionally	Frequently	Constantly	Weight
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:

No special vision requirements.