JOB INFORMATION

Job Code	AA89
Job Description Title	Exec Dir, Compliance & Privacy
Pay Grade	LC17
Range Minimum	$150,460
33rd %	$200,610
Range Midpoint	$225,690
67th %	$250,770
Range Maximum	$300,920
Exemption Status	Exempt
Approved Date:	5/25/2021 4:54:30 PM
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JOB FAMILY AND FUNCTION

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

JOB SUMMARY

The Executive Director, Compliance & Privacy provides oversight, coordination, leadership and assessment of the University's compliance with all 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, to establish an institutional privacy strategy in compliance with federal and international law, guided by the Fair Information Practices Principals.

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. Leads committees - including the Privacy Working Group - to vet these policies prior to submission to the Institutional Compliance Committee for approval. Reviews existing policies and programs as needed. Oversees and directs the activities of the Youth Protection Program Manager to ensure compliance with federal and state regulations, and University policies.
- Oversees and monitors the work of the Research Security Compliance Office. Provides guidance and assistance to faculty, staff and students on issues related to the transfer or shipment of controlled information or physical items to persons outside of the U.S. and the provision of services to embargoed or boycotted countries, restricted individuals or entities in order to maintain an approved export program in accordance with the International Traffic in Arms Regulations (ITAR), Export Administration Regulations (EAR), Office of Foreign Assets Control (OFAC) and Federal Acquisition Regulations (FAR). 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).
- 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. 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.
- Provides consulting services to management of academic and administrative units related to compliance and privacy. This includes performance of a privacy impact assessment and compliance-regulation review of contracts for the purchase of new software and IT-related services.
- Oversees and directs the work of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Officer conducting initial and periodic risk assessments and related ongoing monitoring activities mandated

RESPONSIBILITIES

by HIPAA. Serves as acting HIPAA Privacy officer in their absence. Coordinates and oversees the implementation and ongoing management of a University-wide Conflict of Interest Management Program. Works with a Conflict of Interest Committee to direct employees and supervisors to create and maintain Conflict of Interest Management Plans where necessary. Oversees and directs the activities of the Youth Protection Program Manager to ensure compliance with federal and state regulations, and University policies.

- 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.

- 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. Attends meetings on behalf of the Associate VP, OACP as requested. Serves as one of 4 members of the "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 necessary incident forensics to determine the data compromised or exposed.

- Coordinates and oversees University employee mandated "Statement of Economic Interests" reporting to Alabama Ethics Commission. Works with AU Business Office to identify individuals who are required to respond, submit this list to the State Ethics Commission. Serves as liaison with Ethics Commission to contact employees who do not respond in the required time frame.

- 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. Provides end-user support as necessary. Generates reports as necessary to respond to open-records requests. Develops and maintains a meta data database of all cell phone calls made or received by Athletics Department personnel to ensure compliance with NCAA compliance rules. Provides assistance to Athletics Compliance with cell phone related reviews. Maintains similar information for non-Athletics university assigned cell phones and provides assistance as requested with workplace related investigations where such data would be useful.

- Oversees the development and creation of Compliance-related training in support of the AU's new LMS system. Works with subject matter experts on campus to "Auburn-ize" existing 3rd party hosted 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.

- Creates web applications to support the work of OACP (e.g. Conflict of Interest Management Plan, and Related university personnel). Uses advanced database query skills to pull data and generate reports in support of Internal Audit and Compliance activities as needed.

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 Business, Law, Public Administration, or related field.	And	12 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 with policy review and development. Experience with web site development and web app development. Experience conducting institutional and programmatic risk assessments. Experience writing	And

MINIMUM EDUCATION & EXPERIENCE

Education Level	Focus of Education	Years of Experience	Focus of Experience	
			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 regulation 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.	

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/ Desired	
	U.S. Government Clearance required.	Upon Hire	Required	And
Certified Compliance & Ethics Professional (CCEP)		Upon Hire	Required	And
Certified Information Systems Auditor (CISA)		Upon Hire	Required	And
EnCase Certified Examiner		Upon Hire	Required	And
	Certified Information Privacy Professional	Upon Hire	Required	And
	Certified Information Privacy Manager	Upon Hire	Required	

REQUIRED PRE-EMPLOYMENT/ONGOING SCREENINGS

Security Clearance

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		

PHYSICAL DEMANDS

Physical Demand	Never	Rarely	Occasionally	Frequently	Constantly	Weight
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.