
Auburn University Job Description

Job Title:	Spec, Compliance	Level I	Unclassified
Job Code:	KC07	Level II	Unclassified
FLSA status:	Exempt	Level III	Unclassified

Job Summary

Performs compliance risk assessments, assessments of the university's processes, controls, organizational structure, reporting, and testing compliance activities.

Essential Functions

1. Assists in overseeing and implementing necessary procedures needed in order to assess the university's risks in compliance areas. Provides development guidance and assistance in the identification and maintenance of University-wide policies and procedures.
2. Provides necessary training to employees across the university, who are charged with overseeing specific compliance areas, to perform required risk assessment.
3. Reviews compliance areas to determine whether required training and documentation is being maintained effectively and efficiently.
4. Helps with identifying and recommending corrective actions in the areas needed for the university to comply with federal sentencing guidelines.
5. Develops appropriate compliance methodologies for these regulations as well as monitoring strategies.
6. Conducts compliance testing and audits.
7. Assists in the maintenance of the compliance office's database/web application used to store university relevant laws and regulations.
8. Serves as a resource to University academic and administrative units as needed to consult, evaluate, and remediate issues related to compliance.
9. Maintains current knowledge of applicable federal and state laws.
10. May manage Auburn University's interface with the State Ethics Commission to ensure required employees are properly notified of their responsibility to submit annual disclosures.

Supervisory Responsibility

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

The above essential functions are representative of major duties of positions in this job classification. Specific duties and responsibilities may vary based upon departmental needs. Other duties may be assigned similar to the above consistent with the knowledge, skills and abilities required for the job. Not all of the duties may be assigned to a position.

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Job Family Levels

Level	Responsibility	Knowledge	Education and Experience*
I	Under immediate supervision, performs standard tasks using established methods, principles, concepts and procedures related to a specialized field. Judgements are made on routine matters of relatively small impact.	Knows fundamental concepts, practices and procedures of particular field of specialization.	Bachelor's degree in discipline appropriate to position with 1 year of experience.
II	Under close supervision, performs varied duties and assignments involving some judgement. Resolves routine questions or problems, referring only complex issues to higher level. Some evaluation, originality and ingenuity	Knows and applies fundamental concepts, practices, and procedures of particular field of specialization, with awareness of related fields.	Bachelor's degree in discipline appropriate to position plus 3 years experience. Experience must include at least 2 years at the preceding level or equivalent.
III	Under minimal supervision, performs complex assignments and fulfills broad responsibilities where required outcomes are defined, but methods and procedures may vary based on professional judgment or precedent. Considerable latitude for un-reviewed action. Confers with supervisor on unusual matters. Coordinates the work of others on projects and may assign work to and assist less experienced professionals or support staff. May act in an advisory capacity to managers or faculty.	Possesses and applies a broad knowledge of principles, practices and procedures of a particular field of specialization to the completion of difficult assignments. Also possesses knowledge of related fields and areas of operation which affect, or are affected by, own area.	Bachelor's degree in discipline appropriate to position plus 5 years experience. Experience must include at least 2 years at the preceding level or equivalent.

* See the "Minimum Required Education and Experience" section of the job description for any substitutions that may be allowed for education and experience.

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Minimum Required Education and Experience

- Level I** Bachelor's degree in discipline appropriate to position with 1 year of experience.
- Level II** Bachelor's degree in discipline appropriate to position plus 3 years experience. Experience must include at least 2 years at the preceding level or equivalent.
- Level III** Bachelor's degree in discipline appropriate to position plus 5 years experience. Experience must include at least 2 years at the preceding level or equivalent.

Focus of Education

Degree in Business, Public Administration, Health Administration, law or relevant field.

Focus of Experience

Experience in regulatory compliance, healthcare management, research management, auditing, legal, or relevant field in the compliance area of position.

Preferred experience pertaining to Higher Education.

Substitutions allowed for Education:

Indicated education is required; no substitutions allowed.

Substitutions allowed for Experience:

When a candidate has the required education, but lacks the required experience, they may normally apply additional appropriate education toward the experience requirement, at a rate of one (1) year relevant education per year of required experience.

Minimum Required Knowledge

See Job Family Levels

Certification or Licensure Requirements:

Level II requires a compliance, ethics or privacy related certification and level III requires a second such certification. Licensed attorney in good standing may be substituted for one certification.

Examples of certifications could include but are not limited to:

CCEP – Certified Compliance & Ethics Professional

CIPP – Certified Information Privacy Professional

CIPM – Certified Information Privacy Manager

CHPC – Certified in Healthcare Privacy Compliance

CHRC – Certified in Healthcare Research Compliance

HCISPP – Healthcare Information Security and Privacy Practitioner

CRCMP – Certified Risk & Compliance Management Professional

GRCP – Governance, Risk and Compliance Professional

Physical Requirements/ADA

Occasional and/or light lifting required. Limited exposure to elements such as heat, cold, noise, dust, dirt, chemicals, etc., but none to the point of being disagreeable. May involve minor safety hazards where likely result would be cuts, bruises, etc.

Routine deadlines; usually sufficient lead time; variance in work volume seasonal and predictable; priorities can be anticipated; some interruptions are present; involves occasional exposure to demands and pressures from persons other than immediate supervisor.

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Job frequently requires sitting, talking, hearing, handling objects with hands, .

Job occasionally requires standing, walking, reaching, climbing or balancing, stooping/kneeling/crouching/crawling, and lifting up to 10 pounds.

Vision requirements: Ability to see information in print and/or electronically.

Date: 5/6/2019
