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## Auburn University Job Description

Job Title: **VP, Institutional Compliance & Security**      Grade LCUC: Unclassified  
Job Code: **KC08**  
FLSA status: Exempt  
Job Family: Legal, Compliance & Audit  
Job Function: Compliance

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### 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.

### Essential Functions

1. 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.
2. 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.
3. 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.
4. 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.
5. 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.
6. Maintains Top Secret National Security Clearance and serves on the university's key management personnel group to provide oversight of classified research issues.
7. 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.
8. 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.
9. 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.

### Supervisory Responsibility

Supervises others with full supervisory responsibility.

*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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## Minimum Required Education and Experience

	<u>Minimum</u>	<u>Focus of Education/Experience</u>
<b>Education</b>	Bachelor's Degree	Degree in Accounting, Finance, or related field.
<b>Experience (yrs.)</b>	10	Experience in the policies, laws and practices of internal auditing.

**Substitutions allowed for Education:**  
Indicated education is required; no substitutions allowed.

**Substitutions allowed for Experience:**  
Indicated experience is required; no substitutions allowed.

**Minimum Required Knowledge**  
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.

**Certification or Licensure Requirements**  
Certified Internal Auditor (CIA) or Certified Public Accountant (CPA).

**Pre-Employment Screening Requirements**  
None required.

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## 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.

Externally imposed deadlines; set or revised on short notice; frequent shifts in priority; numerous interruptions requiring immediate attention; unusual pressure on a daily basis due to accountability for success for major projects or areas of operation.

Job frequently requires sitting, talking, hearing, .

Job occasionally requires standing, walking, reaching, stooping/kneeling/crouching/crawling, handling objects with hands, and lifting up to 25 pounds.

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

Date: 9/5/2023

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