
Auburn University Job Description

Job Title: **Asst Dir, Institutional Compliance**

Job Family: No Family

Job Code: **KC11**

Grade LC13 \$77,000 - \$138,600

FLSA status: Exempt

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).

Essential Functions

1. 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.
 2. 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.
 3. 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.
 4. 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.
 5. 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.
 6. 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.
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Remains current on the broad scope of current office initiatives.

8. Performs other related duties as assigned by supervisor.

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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Minimum Required Education and Experience

	<u>Minimum</u>	<u>Focus of Education/Experience</u>
Education	Ph.D.	Juris Doctorate from ABA-accredited law school.
Experience (yrs.)	6	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.

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 higher education compliance issues, including extensive understanding of internal controls and compliance methodologies. Knowledge of relevant state and federal laws and regulations. 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. Ability to interpret policies and regulations in a broad range of compliance areas. Advanced understanding of general compliance and monitoring methodologies. Ability to learn and manipulate conflict of interest management software.

Certification or Licensure Requirements

Certified Compliance & Ethics Professional, or related certification, or the ability to obtain within 12 (twelve) months of date of hire.

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.

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: 4/14/2022
