
Auburn University Job Description

Job Title: **Assoc VP for Audit, Compliance & Privacy** Grade: LC18 \$164,300 - \$328,600
Job Code: **KC21**
FLSA status: Exempt
Job Family: Legal, Compliance & Audit
Job Function: Internal Audit

Job Summary

The Associate Vice President (AVP) for Audit, 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

Essential Functions

1. 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.
 2. 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.
 3. 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.
 4. 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
-

Auburn University Job Description

- Institutional Compliance Committee.
5. Oversees the development and creation of compliance-related training in support of the AU's Learning 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.
 6. 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.
 7. 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.
 8. 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.
 9. 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.
 10. 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 Institutional Compliance & Security 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.

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.

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.

Auburn University Job Description

Minimum Required Education and Experience

	<u>Minimum</u>	<u>Focus of Education/Experience</u>
Education	Bachelor's Degree	Bachelor's Degree in Business, Law, Public Administration, or related field.
Experience (yrs.)	10	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 structured query language (SQL) data retrievals. Must have at least 2 years experience managing full-time employees. Experience in higher education environment highly preferred.

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 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. U.S. Government Clearance required.

Certification or Licensure Requirements

Must have at least one of the following: CCEP-Certified Compliance & Ethics Professional, CISA - Certified Information Systems Auditor, CIPP-Certified Information Privacy Professional, CIPM-Certified Information Privacy Manager, EnCE - EnCase Certified Examiner.

Pre-Employment Screening Requirements

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

Auburn University Job Description

and pressures from persons other than immediate supervisor.

Job frequently requires sitting, reaching, talking, hearing, handling objects with hands, and lifting up to 10 pounds.

Job occasionally requires standing, walking, .

No special vision requirements.

Date: 8/22/2023
