
Auburn University Job Description

Job Title: **Exec Dir, Compliance & Privacy**

Job Family: No Family

Job Code: **AA89**

Grade 41: \$120,200 - \$200,300

FLSA status: Exempt

Job Summary

The Exec Dir, 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.

Essential Functions

1. 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.
 2. 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.
 3. Oversees and monitors the work of the Research Security Compliance Office which 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).
 4. Provides e-discovery 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.
 5. 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.
 6. 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 by HIPAA.
 7. 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.
 8. Communicates with the campus community through the OACP website, presentations, and other methods providing relevant and useful compliance and privacy information. Works to improve the campus culture of compliance and privacy.
 9. Coordinates with senior University administrators, such as the General Counsel, Chief Information
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Officer, Chief Information Security Officer, to evaluate risk and determine best practices and appropriate internal controls.

10. 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.

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>
Education	Four-year college degree	Degree in Business, Law, Public Administration or related field.
Experience (yrs.)	12	Experience interpreting laws and regulations in a regulatory compliance, healthcare management, research management, auditing, or legal environment. 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.

Certification or Licensure Requirements

Must have at least one of the following:
CCEP-Certified Compliance & Ethics Professional
CIPP-Certified Information Privacy Professional
CIPM-Certified Information Privacy Manager

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 and revised beyond one's control; interruptions influence priorities; difficult to anticipate nature or volume of work with certainty beyond a few days; meeting of deadlines and coordination of unrelated activities are key to position; may involve conflict-resolution or similar interactions involving emotional issues or stress on a regular basis.

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: 10/3/2018
