
Auburn University Job Description

Job Title: **Mgr, Institutional Compliance**

Job Family: Legal, Compliance & Audit

Job Code: **EE21**

Grade LC12: \$66,900 - \$120,400

FLSA status: Exempt

Job Summary

Reporting to the Executive Director, Institutional Compliance & Privacy, the Mgr, Institutional Compliance is responsible for coordinating compliance with the University's policies and programs affecting youth protection at Auburn University's main campus, AU-Montgomery (AUM), Alabama Cooperative Extension System (ACES), and Alabama Agricultural Experiment Station (AAES). This position provides assistance with oversight, coordination, and assessment of the University's (AU/AUM/AAES/ACES) compliance activities with all federal, state, and local laws and regulations, and with university policies.

Essential Functions

1. Develops, implements, and monitors a program for protection of minors for AU, AUM, ACES, and AAES based on industry standards for youth programs and other regulatory requirements related to Youth Protection Program compliance. Provides guidance and interpretation of applicable university policies related to youth protection and oversees compliance with the operational requirements of these policies.
 2. Manages an inventory and database of program information. Reviews and approves documents and submitted information associated with registration of university-sponsored and third party programs involving minors.
 3. Monitors background clearance requirements for persons working within university-sponsored youth programs. Regularly assesses youth program risks and compliance trends and proposes policy updates.
 4. Performs on-site visits and reviews of youth programs to assess compliance with the Youth Protection Policy. Develops reports as requested by university leadership.
 5. Leads internal stakeholders to develop, coordinate, and implement incident response policies, procedures, and protocols to respond to reports of child abuse, neglect, or other escalated incidents involving youth.
 6. Manages and enhances the Compliance Data Reporting Initiative, working with distributed compliance partners to collect information on their compliance responsibilities, activities and perceived risks. Annually, works with the Institutional Compliance Committee and Division of Institutional Compliance & Privacy professionals to present an overall summary of the data to university senior leadership and the Board of Trustees.
 7. Responsible for creating and updating, collaboratively or independently as appropriate, compliance training content for identified compliance training gaps. Delivers in-person training to individuals and groups as necessary on a variety of regulatory compliance and policy areas, including youth protection.
 8. Leads the implementation and ongoing management of Policy Management software suite. Provides for proper user access, workflows and general system support to policy drafters, reviewers, and approvers. Works with selected software vendor to enhance the capabilities of the software as desired.
 9. Cultivates strong relationships with campus constituents to enhance the university's culture of compliance and ethics. Serves as a primary resource to provide advice & guidance to university personnel consistent with laws and policies.
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10. Responsible for staying up-to-date on the regulatory environment relevant to higher education, industry, and campus best practices and university policy. Assists with ongoing activities of the overall institutional compliance & privacy program, and develops a wide-range of knowledge, skills, and abilities to support these activities. Assists in the development and update of institutional compliance & privacy policies, processes, and practices. Contributes to developing an annual work plan. Participates in relevant compliance and ethics organizations, including attending meetings and conferences, participating in work groups, engaging in speaking opportunities, or performing other related activities.

Supervisory Responsibility

May supervise employees but supervision is not the main focus of the job.

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	No specific discipline.
Experience (yrs.)	5	Experience in higher education or campus setting, compliance, risk management or youth programs. Experience in interpreting laws and regulations is required- within a higher education environment is desired. At least one (1) year experience in either regulatory compliance, healthcare management, research management, auditing, legal, or related field.

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, specifically higher education youth-serving programs.

Demonstrated knowledge of internal controls and compliance methodologies.

Demonstrated knowledge of evaluating, coordinating, and developing training on policy or procedural subject matter and the ability to deliver training to various constituents.

Demonstrated proficiency in verbal and written communication skills.

Certification or Licensure Requirements

None Required.

Certified Internal Auditor (CIA), Certified Information Systems Auditor (CISA), or Certified Compliance and Ethics Professional (CCEP) is desired.

Licensed attorney in good standing may be substituted for one certification.

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, .

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Job occasionally requires standing, walking, reaching, handling objects with hands, and lifting up to 25 pounds.

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

Date: 1/30/2023

