

JOB INFORMATION

Job Code	EE21
Job Description Title	Mgr, Institutional Compliance
Pay Grade	LC12
Range Minimum	\$73,610
33rd %	\$93,240
Range Midpoint	\$103,050
67th %	\$112,870
Range Maximum	\$132,500
Exemption Status	Exempt
Approved Date:	1/1/1900 12:00:00 AM
Legacy Date Last Edited	1/30/2023

JOB FAMILY AND FUNCTION

Job Family:	Legal, Compliance & Audit
Job Function:	Risk Management

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.

RESPONSIBILITIES

- 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.
- 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.
- Monitors background clearance requirements for persons working within university-sponsored youth programs. Regularly assesses youth program risks and compliance trends and proposes policy updates.
- Performs on-site visits and reviews of youth programs to assess compliance with the Youth Protection Policy. Develops reports as requested by university leadership.
- 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.
- 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.
- 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.
- 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.

RESPONSIBILITIES

- 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.
- 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.

The responsibilities listed above show the typical duties for jobs in this classification. Actual tasks may differ depending on the department's needs. Other similar duties may be assigned with discretion of the supervisor. Not every duty will apply to every position, and the amount of time spent on each task can change based on department needs.

SUPERVISORY RESPONSIBILITIES

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

MINIMUM QUALIFICATIONS

To be eligible, an individual must meet all minimum requirements which are representative of the knowledge, skills, and abilities typically expected to be successful in the role. For education and experience, minimum requirements are listed on the top row below. If substitutions are available, they will be listed on subsequent rows and may only be utilized when the candidate does not meet the minimum requirements.

MINIMUM EDUCATION & EXPERIENCE

Education Level	Focus of Education		Years of Experience	Focus of Experience
Bachelor's Degree	No specific discipline.	and	5 years of	<p>Experience in higher education or campus setting, compliance, risk management or youth programs.</p> <p>Experience in interpreting laws and regulations is required- within a higher education environment is desired.</p> <p>At least one (1) year experience in either regulatory compliance, healthcare management, research management, auditing, legal, or related field.</p>

MINIMUM KNOWLEDGE, SKILLS, & ABILITIES

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.

MINIMUM LICENSES & CERTIFICATIONS

Licenses/Certifications	Licenses/Certification Details	Time Frame	Required/Desired
None Required.			

PHYSICAL DEMANDS & WORKING CONDITIONS

Physical Demands Category: Other

PHYSICAL DEMANDS

Physical Demand	Never	Rarely	Occasionally	Frequently	Constantly	Weight
Standing			X			
Walking			X			
Sitting				X		
Lifting	X					
Climbing		X				
Stooping/ Kneeling/ Crouching		X				
Reaching			X			
Talking				X		
Hearing				X		
Repetitive Motions			X			
Eye/Hand/Foot Coordination			X			

WORKING ENVIRONMENT

Working Condition	Never	Rarely	Occasionally	Frequently	Constantly
Extreme cold			X		
Extreme heat			X		
Humidity			X		
Wet			X		
Noise			X		
Hazards			X		
Temperature Change			X		
Atmospheric Conditions			X		
Vibration			X		

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