Research Compliance Officer

Job Purpose: Reporting to the Vice President for Research and Technology Transfer (VPRTT), the Research Compliance Officer must be deeply familiar with regulatory areas of research compliance related to university research. The Research Compliance Officer will design, develop, implement, and monitor an effective research compliance program coordinating institutional-wide initiatives to assess, balance and respond appropriately to compliance risks. This position requires working collaboratively and strategically with other campus administrative offices, including the Office of Compliance and Policy, Office of Legal Services, Academic Affairs, Environmental Health and Safety, Procurement, Computing, Communications & Information Technologies, and the Office of Research Administration.

The Research Compliance Officer provides strategic oversight for and coordination of institutional research compliance programs that promote the highest standards of ethics, integrity and responsibility within Mines’ research. This individual works with the faculty, senior leadership and administrators to implement and enhance research compliance efforts, and coordinate Mines’ responses to violations of research standards, including the investigation and response to research misconduct. This position also serves as the International Traffic in Arms Regulations (ITAR) Empowered Official for the university and ensures compliance with export control regulations.

Responsibilities: This position serves as the expert and primary point of contact for advice, resources, education, and coordination of research compliance and export control compliance. This includes regular technology and research project screening activities, as well as education and outreach about export control regulatory compliance and related topics. In addition to technical knowledge of the regulatory environment, coordination and communication are critical to planning, implementing, and monitoring the compliance program. Specific research regulatory activities cover a wide range of topics such as Conflicts of Interest in research, Export Control, protection of Human Subjects in research involving minimal risk to participants (Mines does not maintain an internal IRB), Occupational and Environmental Health and Safety, Research Misconduct, Research Data and Privacy, International Research Compliance, and others areas as appropriate. The Research Compliance Officer will work on any number of these topics by serving as the focal point for compliance activities and assignments, according to the program’s needs. The range of activities includes, but is not limited to:

Program Development (25%, essential function)
Developing institutional policies, procedures, guidelines, and programs that enable the conduct of research while ensuring compliance with regulatory requirements. Developing, coordinating, and participating in a multifaceted educational and training program that focuses on the elements of the compliance program, and that seeks to ensure that all appropriate faculty and staff are knowledgeable about pertinent policies and federal and state standards. Developing, authoring, and coordinating the dissemination of communications on relevant research compliance issues.

Compliance Oversight (25%, essential function)
Coordinating internal compliance review and monitoring activities, including periodic reviews of policies and programs. Participating in investigation of matters related to compliance, including designing and coordinating internal investigations and any resulting corrective action. Overseeing and monitoring the implementation of specific compliance program elements.
Administrative / Research Faculty Job Description and Exemption Request Form

Technology Control Planning (45%, essential function)
Conducting Export Control analysis of individual projects and technologies. This includes working with faculty and other researchers to assess the technology, individuals, and facilities involved, determining whether a technology control plan (TCP) is needed, and drafting the TCP, if warranted. Implementing, coordinating, and monitoring restricted party screenings at the office/department level. Review university transactions, including purchase requisitions, travel requests, visiting scholar applications, etc., for compliance with federal export regulations.

Other duties as assigned. (5%, non-essential function)

Qualifications:
Required:

- Bachelor’s degree OR demonstrated equivalent work experience;
- Moderate professional experience in research administration and/or research compliance;
- Extensive knowledge of federal research regulations pertaining to one or more of the following areas: sponsored projects, research integrity, effort reporting, conflict of interest, human subjects research, export control/controlled information, procurement, record retention, etc.;
- Ability to successfully interpret and explain regulations and guidance given particular situations and audiences; ability to assess regulatory issue impact on institutional business needs, researchers, and research programs;
- Proven success in implementing compliance monitoring mechanisms;
- Exceptional written, verbal and interpersonal communication skills; demonstrated ability to effectively communicate complex issues both verbally and in writing;
- Demonstrated ability to design, develop, and deliver training.
- Ability to identify and use formal and informal decision-making networks, facilitate reconciliation of conflicts, and negotiate successful solutions;
- Successful record of working effectively and in partnership with individuals who do not report directly but have a shared responsibility for compliance;
- Demonstrated record of taking actions that support a commitment to equity, diversity and inclusion;
- Ability to support and promote an effective, ongoing regulatory compliance program;
- Thorough knowledge of compliance issues, laws and regulations relating to research compliance;
- Demonstrated highly effective interpersonal skills for working closely with internal organizational units and for effective representation of organizational positions on issues with external parties and groups;
- Ability to work independently on multiple issues concurrently and to exercise independent judgment in establishing priorities;
- Ability to organize work, make sound decisions and exercise good judgment.

Desired:

- Master’s degree
- Experience with academic research environments.