### Job Family
Audit, Compliance and Ethics

**Area of Focus**

- **Supervisory & Management
- Ethics and Compliance

**Job Summary**

Involves oversight of the key compliance related activities affecting the ongoing establishment and maintenance of a culture of safety, non-discrimination, and acceptance at the University of California. Includes compliance governance, policies and procedures, training and education, communication and reporting, internal monitoring, and auditing. Recommends response, prevention, and disciplinary standards for compliance issues. Ensures alignment with applicable laws and ethical standards of the organization. Activities include complaint investigations of potential allegations of improper behavior, “whistleblowing,” and improper government activities.

<table>
<thead>
<tr>
<th>Job Level</th>
<th>Manager 1</th>
<th>Manager 2</th>
<th>Manager 3</th>
<th>Manager 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Title</td>
<td>Ethics and Compliance Mgr 1</td>
<td>Ethics and Compliance Mgr 2</td>
<td>Ethics and Compliance Mgr 3</td>
<td>Ethics and Compliance Mgr 4 OP Only</td>
</tr>
<tr>
<td>Job Code</td>
<td>6059</td>
<td>6058</td>
<td>6057</td>
<td>6056</td>
</tr>
<tr>
<td>Tracking Code</td>
<td>A1336</td>
<td>A1337</td>
<td>A1338</td>
<td>A1339</td>
</tr>
<tr>
<td>Per. Program</td>
<td>MSP</td>
<td>MSP</td>
<td>MSP</td>
<td>MSP</td>
</tr>
<tr>
<td>FLSA</td>
<td>Exempt</td>
<td>Exempt</td>
<td>Exempt</td>
<td>Exempt</td>
</tr>
</tbody>
</table>

### Generic Scope

Spends the majority of time (50% or more) achieving organizational objectives through the coordinated achievements of subordinate staff. Establishes departmental goals and objectives, functions with autonomy. Manages the accountability and stewardship of human, financial, and often physical resources in compliance with departmental and organizational goals and objectives. Ensures subordinate supervisors and professionals adhere to defined internal controls. Manages systems and procedures to protect departmental assets.

Oversees through subordinate managers a large department or multiple smaller units, OR manages a highly specialized technical function / team. Has significant responsibility to achieve broadly stated goals through subordinate managers. Determines objectives, directs programs, develops strategies and policies, manages human, financial, and physical resources, and functions with a high degree of autonomy. Proactively assesses risk to establish systems and procedures to protect organizational assets.

Oversees through subordinate managers one or more large, complex departments or business units with multiple functional disciplines / occupations, OR manages a program, regardless of size, that has critical impact upon the organization as a whole, such as most or all of a campus, medical center, UCOP or the UC System. Has significant responsibility for formulating and administering policies and programs, manages significant human, financial, and physical resources, and functions with a very high degree of autonomy. Oversees through subordinate managers the accountability and stewardship of department resources and the development of systems and procedures to protect organizational asset.

Directs through subordinate managers multiple large and complex critical programs impacting broad constituencies across major portions of the organization. Identifies objectives, manages very significant human, financial, and physical resources, and functions with an extremely high degree of autonomy. Accountable for formulating and administering policies and programs for major functions. Operational or program results can affect overall organization-wide performance and reputation. Directs through subordinate managers the development of strategic goals and objectives to achieve accountability and stewardship of university resources in a manner consistent with system wide objectives and initiatives.

### Custom Scope

Manages the work of a specific program within the ethics and compliance function. Manages the activities of professional staff in project and / or policy analysis and development. Develops project plans and staffing / financial needs to complete them. Determines long term and short term strategic plans to achieve the objectives of the organization.

Leads in the establishment of operational objectives and work plans for single or multiple programs, and delegates assignments to subordinate managers or professional staff. Assigned programmatic responsibility may include a broad scope, such as health science, research, international activities, policy, etc. Objectives are reviewed by senior management to determine success of the Ethics and Compliance program. Involved in developing, modifying and executing local policies that affect immediate operations and may also impact the entire organization.

Leads a full section, including multiple programs, of the compliance function that is strategically and operationally important to the governance of the university. Participates with other senior managers to establish strategic plans and objectives. Makes final decisions on administrative or operational matters and ensures effective achievement of objectives. Advises Senior Leadership in sectional responsibilities such as investigations, research, health sciences, and policy. Erro neous decisions will have a serious impact on the overall success of functional, division, or location operations.

Leads multiple-department units within compliance. Develops organization-wide ethics and compliance policies and authorizes their implementation. Provides advice, guidance and assistance to senior leadership; establishes direction, policies and procedures, represents the location in system-wide meetings and discussions. Recognized as an influential leader. Regularly interacts with internal and external constituencies and executive leadership on matters of significance. Erro neous decisions will have an impact on the overall success of functional, division, or location operations.

### Key Resp 01

**Implements the ethics and compliance strategic**

Participates in the development and

Develops the ethics and compliance strategic plan

Ensures achievement of operation’s objectives
<table>
<thead>
<tr>
<th>Job Level</th>
<th>Manager 1</th>
<th>Manager 2</th>
<th>Manager 3</th>
<th>Manager 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key Resp 02</td>
<td>Develops and implements ethics and compliance processes for program area. Develops proposals for changes in policy as appropriate.</td>
<td>Plans, designs and implements polices and projects with impact on a location or system-wide basis; represents the function or project in system-wide meetings and discussions.</td>
<td>Plans, designs and implements polices and projects of significant consequence and with impact on a system-wide basis; represents the function or project in system-wide meetings and discussions.</td>
<td></td>
</tr>
</tbody>
</table>
## Job Summary
Involves oversight of the key compliance related activities affecting the ongoing establishment and maintenance of a culture of safety, non-discrimination, and acceptance at the University of California. Includes compliance governance, policies and procedures, training and education, communication and reporting, internal monitoring, and auditing. Recommends response, prevention, and disciplinary standards for compliance issues. Ensures alignment with applicable laws and ethical standards of the organization. Activities include complaint investigations of potential allegations of improper behavior, “whistleblowing,” and improper government activities.

### Job Level
- **Manager 1:** committees and working groups.
- **Manager 2:**
- **Manager 3:**
- **Manager 4:** segments. Works with management in all areas to promote a culture of accountability, ethics, and compliance.

### Key Resp 08
- Manages complex analyses across ethics and compliance programs, policies and initiatives.
- Recommends staffing, budgets, costs and human resources related activities pertaining to assigned staff. Prepares short and long range planning. Establishes and recommends organizational policy.
- Makes decisions on administrative or operational matters and ensures effective achievement of operation’s objectives. Prepares short and long range planning. Establishes and recommends organizational policy.
- Makes final decisions on administrative or operational matters and ensures effective achievement of operation’s objectives.

### Key Resp 09
- Participates in the selection, development and evaluation of staff to ensure the efficient operation of the function.
- Participates in the selection, development and evaluation of staff to ensure the efficient operation of the function.
- Selects, develops and evaluates staff to ensure the effective and efficient operation of the function(s).
- Oversees analysis and policy development for ethics and compliance issues; reviews program action recommendations submitted for approval by Executive leadership.

### Key Resp 10
- Participates in the development, implementation and maintenance of risk assessment and ethics and compliance processes.
- Develops, implements and maintains risk assessment and ethics and compliance processes.
- Assures adherence to departmental policies and processes, goals, budgets, and guidance.
- Assures adherence to departmental policies, goals, budgets, and guidance.

### Key Resp 11
- Regularly interacts with senior management or executive levels on matters concerning several functional areas, unit and / or customers. Represents the department on specific issues related to program area.
- Interacts with higher-level management on controversial situations, negotiations, or influencing and persuading others.
- Leads monitoring efforts for University ethics and compliance plan with regular reports for Executive Leadership.
- Serves as liaison for compliance and ethics issues to internal and external constituencies.

### Key Resp 12
- Develops risk assessment and mitigation plans for specific program areas within ethics and compliance.
- Serves as liaison for compliance and ethics issues to internal and external constituencies.
- Leads mitigation efforts for compliance and ethics risks.

### Education 1
- Bachelor's degree in related area and / or equivalent experience / training.
- Bachelor's degree in related area and / or equivalent experience / training.
- Bachelor's degree in related area and / or equivalent experience / training.
- Bachelor's degree in related area and / or equivalent experience / training.

### Education 2
- Advanced Degree preferred.
- Advanced Degree preferred.

### License 1
- None.
- None.

### License 2
- None.
- None.
| Job Family     | Audit, Compliance and Ethics | Job Summary                                                                                     | Involves oversight of the key compliance related activities affecting the ongoing establishment and maintenance of a culture of safety, non-discrimination, and acceptance at the University of California. Includes compliance governance, policies and procedures, training and education, communication and reporting, internal monitoring, and auditing. Recommends response, prevention, and disciplinary standards for compliance issues. Ensures alignment with applicable laws and ethical standards of the organization. Activities include complaint investigations of potential allegations of improper behavior, “whistleblowing,” and improper government activities. |
|---------------|-----------------------------|-----------------------------------------------------------------------------------------------|
| Job Function  | Ethics and Compliance       |                                                                                                |
| Category      | Supervisory & Management    |                                                                                                |
| Job Level     | Manager 1                   | Manager 2                                                                                     | Manager 3                                                                                     | Manager 4                                                                                     |
| License 3     |                             |                                                                                                |
| License 4     |                             |                                                                                                |
| Cert 1        | Professional certification preferred. |                                                                                     | Professional certification preferred.                                                        | Professional certification preferred.                                                        |
| Cert 2        |                             |                                                                                                |
| Cert 3        |                             |                                                                                                |
| Cert 4        |                             |                                                                                                |
| Spec Cond 1   |                             |                                                                                                |
| Spec Cond 2   |                             |                                                                                                |
| Spec Cond 3   |                             |                                                                                                |
| Spec Cond 4   |                             |                                                                                                |
| KSA 01        | Has broad and thorough knowledge of the compliance and ethics profession, theories, and standards. |                                                                                     | Has advanced knowledge of the compliance and ethics profession, theories, and standards.     | Has expert knowledge of the compliance and ethics profession, theories, and standards.     |
| KSA 02        | Ability to supervise support and professional analyses functions for compliance and ethics programs. |                                                                                     | Ability to provide effective management and supervision of a specific program within the ethics and compliance functions. | Demonstrated ability to direct a variety of program areas within ethics and compliance.        |
| KSA 03        | Ability to demonstrate professional judgment in the supervision of projects and staff. |                                                                                     | Ability to communicate, both verbally and in writing about specific compliance and ethics program issues and risk areas. Requires the ability to change the thinking of, or gain acceptance of, others in sensitive situations. | Demonstrated ability to communicate, both verbally and in writing, complex findings and recommendations in a clear and concise manner. This includes findings for specific compliance and ethics program issues and risk areas. |
| KSA 04        | Ability to work independently and within a team environment. |                                                                                     | Strong interpersonal skills including negotiation and communication; able to reach across a wide variety of audiences for different areas of ethics and compliance. | Advanced interpersonal skills including negotiation and communication that have been demonstrated across a wide variety of audiences for different areas of ethics and compliance. | Excellent management skills including developing policies, procedures, budgeting, organizational management, and personnel management. |
| KSA 05        | Comprehensive project management skills. |                                                                                     | Requires knowledge of policies, practices and systems; human and other resource planning, analytical and comprehensive project management skills. | Requires knowledge of policies, practices and systems; human and other resource planning, analytical and comprehensive project management skills. | Exceptional interpersonal skills including negotiation and communication that have been demonstrated across a wide variety of audiences for different areas of ethics and compliance. |
| KSA 06        | Ability to work independently and within a team environment. |                                                                                     | Ability to work independently and within a team environment. | Ability to work independently and within a team environment. | Ability to demonstrate professional judgment in the supervision of projects and staff and address sensitive compliance and ethical issues for all levels of the organization including senior and |
### Job Summary

Involves oversight of the key compliance related activities affecting the ongoing establishment and maintenance of a culture of safety, non-discrimination, and acceptance at the University of California. Includes compliance governance, policies and procedures, training and education, communication and reporting, internal monitoring, and auditing. Recommends response, prevention, and disciplinary standards for compliance issues. Ensures alignment with applicable laws and ethical standards of the organization. Activities include complaint investigations of potential allegations of improper behavior, “whistleblowing,” and improper government activities.

### KSA 07

Ability to work with a high level of independence and lead a team environment.

### KSA 08

### KSA 09

### KSA 10

### KSA 11

### KSA 12

### KSA 13

### KSA 14

### KSA 15

### Environment

Office settings and various external venues

### Career Path 1

Ethics and Compliance Mgr 2

### Career Path 2

### Career Path 3

### Career Path 4

### Career Path 5

### Career Path 6

### Manager 1

### Manager 2

### Manager 3

### Manager 4

executive leadership.

Ability to work with a high level of independence and lead a team environment.