

2006 Ethics & Compliance Officer Association Compensation Survey

Job Title	Job Description
<p>Top Ethics and Compliance Executive, Global</p>	<p>This position has global accountability for developing and directing the organization's ethics, business conduct and compliance function for the total corporation worldwide under executive management direction based on predetermined goal and objectives. Determines appropriateness of corporate-wide compliance initiatives and provides leadership and oversight to ensure development and implementation of strategies, policies and programs. Responsible for all activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees, shareholders and the communities in which the company's business is being conducted. Provides leadership in the development of a compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements and benchmarking research, facilitating the systematic assessment and management of compliance risks. Responsible for the companywide confidential reporting systems allowing employees, customers, contractors, and other stakeholders to disclose violations of the corporation's ethical standards, violations of law, or corporate policy relating to such matters without fear of retaliation ("Ethics Helpline"). Responsible for effectively communicating the ethics and compliance standards and procedures to all employees and other agents, through training programs and publications. Ensures compliance with U.S. Government procurement and contract compliance laws and regulations and with the company's oversight responsibility for Government Contract Compliance Audit and training function. Provides guidance to senior officers and senior managers on all ethics, business conduct and compliance matters and their impact on organizational effectiveness and business success. Provides comprehensive reports to the top executive and various Committees of the Board of Directors, such as, the Audit Committee and Compliance Policy Committee. Works closely with the cognizant staff functions, Legal, Finance, Internal Auditing, and Human Resources. Education/Experience: J.D. or Master's degree and more than 10 years work experience or Bachelor's degree and more than 15 years work experience. Work experience should include a minimum of 8 years of management responsibilities and 6 years or more relevant work in domestic and international government regulatory compliance and laws.</p>
<p>Top Ethics and Compliance Executive, Domestic</p>	<p>This position has accountability for developing and directing the ethics, business conduct and compliance function for a domestic corporation operating in the U.S. only, under executive management direction based on predetermined goal and objectives. Determines appropriateness of corporate-wide compliance initiatives and provides leadership and oversight to ensure development and implementation of strategies, policies and programs. Responsible for all activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees, shareholders and the communities in which the company's business is being conducted. Provides leadership in the development of a compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements and benchmarking research, facilitating the systematic assessment and management of compliance risks. Responsible for the companywide confidential reporting systems allowing employees, customers, contractors, and other stakeholders to disclose violations of the corporation's ethical standards, violations of law, or corporate policy relating to such matters without fear of retaliation ("Ethics Helpline"). Responsible for effectively communicating the ethics and compliance standards and procedures to all employees and other agents, through training programs and publications. Ensures compliance with U.S. Government procurement and contract compliance laws and regulations and with the company's oversight responsibility for Government Contract Compliance Audit and training function. Provides guidance to senior officers and senior managers on all ethics, business conduct and compliance matters and their impact on organizational effectiveness and business success. Provides comprehensive reports to the top executive and various Committees of the Board of Directors, such as, the Audit Committee and Compliance Policy Committee. Works closely with the cognizant staff functions, Legal, Finance, Internal Auditing, and Human Resources. Education/Experience: J.D. or Master's degree and more than 8 years experience or Bachelor's degree and more than 12 years experience. Work experience should include a minimum of 7 years of management responsibility and 5 years or more relevant work in domestic government regulatory compliance and laws.</p>
<p>Manager, International Compliance</p>	<p>Plans and directs the corporation's comprehensive ethics, business conduct and compliance activities for all international operations under senior management direction. This position does not have domestic accountabilities, but is normally domiciled in the U.S. Manages, promotes and monitors the corporations' international entities' compliance with applicable laws and regulations. Consults with and provides expert guidance to executives and senior managers designated with the responsibility for the entity's compliance program in each international operating company. Develops and implements strategies to ensure the corporate values and ethics standards are emphasized, communicated and integrated throughout the international operations. Directs the development and implementation of processes, procedures and systems to meet the entities' compliance activities and reporting requirements. Oversees the organization's compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the standards of the Federal Sentencing Guidelines as related to the international operating units. Collaborates with other subject matter experts in Internal Auditing, Legal, Human Resources to ensure the international operations' adherence to applicable laws and regulations in the countries where the corporation operates. Directs the development of ethics, business conduct and compliance education and awareness programs throughout the international operations. Provides expert advice and interpretation of the company's code of conduct, including the applicability of the organization's policies and programs to specific situations within the international unit. Recommends changes in corporate compliance policies and practices to be consistent with the individual country laws and regulations. Assist the designated senior compliance officer in the execution of their compliance oversight and administration. Consults with and provides guidance and direction to the international operating company's senior executive in all aspects of the entity's ethics, business conduct and compliance program. Education/Experience: Master's degree or international equivalent and more than 5 years experience or Bachelor's degree or international equivalent and more than 8 years experience. Work experience should include a minimum of 3 years of management responsibility and relevant work in a broad range of international government regulatory compliance and laws.</p>

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Corporate Manager, Ethics and Compliance	<p>Plans, directs and manages on a day-by-day basis the corporation's comprehensive ethics, business conduct and compliance function under the senior management direction based on predetermined goals and objectives. Participates in the development and implements strategies for all activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees, stakeholders and the communities in which the organization's operates. Responsible for effectively communicating the ethics and compliance standards and procedures to all employees and other agents, through training programs and publications. Provides expert advice and interpretation of the code of ethics and compliance, including the applicability of the organization's policies and programs to specific situations. Works with other subject matter experts to develop the most appropriate methods for maintaining employee awareness of the program and pertinent laws or regulations pertaining to the organization's business. Participates in updating and maintenance of the companywide confidential reporting systems ("helpline"). Ensures that honest, candid and timely responses from the management are provided for inquiries. Ensures that a thorough investigation is conducted of alleged violations of the laws or regulations pertaining to the business. Provides direction and expert advice in the development of a compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements. Works with various committees within the corporation that establish policy on a variety of procurement matters. Coordinates closely with the senior executives, internal auditing, human resources and legal personnel relative to application, interpretation, and enforcement of the corporation's policies and procedures. Provides leadership direction to the professional staff within the ethics and compliance function. Education/Experience: Master's degree and more than 5 years experience or Bachelor's degree and more than 8 years experience. Work experience should include a minimum of 3 years of management responsibility and relevant work in government regulatory compliance and laws.</p>
Corporate Ethics and Compliance Specialist	<p>Works under very general direction. Independently determines and develops approaches to solutions. Work is reviewed upon completion for adequacy in meeting objectives. Works on assignments to monitor activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees and the communities in which the organization is conducting their business. Coordinates and participates with other subject matter experts on the corporation's risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements. Participates in the implementation of the corporation's comprehensive ethics, business conduct and compliance program throughout the organization. Assist in the preparation of communication and distribution of materials to all personnel. Participates in creating the most appropriate methods for maintaining employee awareness of the program and pertinent laws or regulations pertaining to the organization's business. Assures that honest, candid and timely responses from the appropriate management personnel are provided for "helpline" inquiries. Monitors allegations of unethical activity through evaluation of risk and identification of solutions. Ensures that a thorough investigation is conducted of alleged violations of the Code, laws or regulations pertaining to the business. Coordinates closely with Internal Auditing, Human Resources and Legal executives relative to application, interpretation, and enforcement of the Code and the corporation's policies and procedures. Participates as an expert resource in the design and development of employee education and training programs regarding compliance with applicable laws, regulations and code. Participates in preparation and presentation of periodic reports to the senior executive of the corporation, Board of Directors, Ethics and Compliance Committee members. Acts as a technical expert on ethics and compliance projects. Education/Experience: Bachelor's degree and more than 5 years experience. Work experience should include relevant work in government regulatory compliance and laws.</p>
Manager, Government Compliance	<p>Plans and directs the government compliance function for the total corporation under senior management direction based on predetermined goals and objectives. Provides corporate-wide focus for efforts relating to compliance with government procurement laws and regulations and with the organization's policies on business ethics and conduct in contracting with the U.S. Government, including oversight responsibility for government contract compliance audit and training functions. Works with various committees within the corporation that establish policy on a variety of procurement matters, including government accounting, government property and independent research and development issues. Provides guidance and expertise in the development and maintenance of the company's compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements and benchmarking research, facilitating the systematic assessment and management of compliance risks. Maintains an expertise on Government Procurement laws. Reviews corporate policies, systems and procedures with respect to commercial matters and assists in drafting such policies to ensure that they establish a level of conduct that complies with applicable laws. Provides oversight and coordination for government contract training, policy and related relationships within operating units and external organizations. Conducts internal reviews to evaluate effectiveness of compliance efforts and to identify deficiencies in meeting the organization's expectations in its commercial practices. Interacts with government agencies in the conduct of investigations and audits on commercial matters. In fulfilling these responsibilities, the incumbent will work closely with cognizant staff functions, including the following functions; Finance, Government Contract Compliance Audit, Internal Audit, Legal and Human Resources. Education/Experience: J.D. or Master's degree and more than 5 years experience or Bachelor's degree and more than 8 years experience. Work experience should include a minimum of 3 years of management responsibility and 5 years or more relevant work in domestic and international government regulatory compliance and laws. Thorough knowledge of the corporation's business strategies, policies, standards and practices.</p>

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<p>Manager, Compliance Investigation</p>	<p>Plans, directs and conducts thorough investigations of alleged violations of the corporation's ethical standards, compliance with applicable laws, regulations and corporate policy issues presented for inquiry to a complete resolution. Assigns investigations to professional staff based on caseload and specific alleged violations. Ensures that investigations follow the approved process, are lawfully and objectively conducted, are thorough in gathering all material facts and present an accurate accounting of the issues. Provides realistic evaluation prior to the start of the investigation regarding an estimate of time and resources required to complete the investigation. Investigates allegations of unethical activity through evaluation of risk. Presents clear, concise and factual reports that enable fair and relevant decisions to be made. Recommends proactive measures that will reduce the risk of similar future incidents. Ensures investigative actions, documentation and evidence will pass scrutiny by a court or internal and external audit reviews. Regularly conducts scans of outgoing Emails and attempted access to blocked internet sites and reports the findings to the appropriate management personnel. Plans, develops and implements procedures to obtain, maintain, secure, analyze, file and account for investigative reports to appropriate officials. Ensures that all issues brought to the attention of the Ethics and Compliance function are appropriately addressed. Contributes to and coordinates the development of value-added compliance and ethics training programs, group-specific compliance programs and the corporation's compliance manual. Coordinates closely with Internal Auditing, Human Resources and Legal executives relative to application, interpretation, and enforcement of the corporation's policies and procedures. Education/Experience: Bachelor's degree and more than 8 years experience including a minimum of 3 years of management responsibility and relevant work with a major law enforcement, intelligence, public or private investigative organization. Certified Fraud Examiner (CFE) is preferred.</p>
<p>Compliance Investigator</p>	<p>Works under general direction. Exercises reasonable latitude in determining investigative techniques to accomplish objectives. Work is reviewed upon completion for adequacy in meeting objectives. The investigated caseload is assigned by management. Plans, organizes and conducts comprehensive investigations of suspected violations of the corporation's ethical standards, compliance with applicable laws, regulations and corporate policy issues presented for inquiry to a complete resolution. Ensures that investigations follow the approved process, are lawfully and objectively conducted, are thorough in gathering all material facts and present an accurate accounting of the issues. Provides realistic evaluation prior to the start of the investigation regarding an estimate of time and resources required to complete the investigation. Investigates allegations of unethical activity through evaluation of risk. Presents clear, concise and factual reports that enable fair and relevant decisions to be made. Recommends proactive measures that will reduce the risk of similar future incidents. Ensures investigative actions, documentation and evidence will pass scrutiny by a court or internal and external audit reviews. Conducts scans of outgoing Emails and attempted access to blocked internet sites and reports the findings to the appropriate management personnel. Contributes to and participates in the development of value-added compliance and ethics training programs, group-specific compliance programs and the corporation's compliance manual. Works closely with Internal Auditing, Human Resources and Legal executives relative to application, interpretation, and enforcement of the corporation's policies and procedures. Education/Experience: Bachelor's degree and more than 5 years relevant experience with a major law enforcement, intelligence, public or private investigative organization. Certified Fraud Examiner (CFE) is preferred.</p>
<p>Manager, Ethics and Compliance Training</p>	<p>Plans and manages the organization's ethics, business conduct and compliance training programs under senior management direction. Conducts needs analyses and designs and implements ethics, business conduct and compliance training and development programs. Interfaces with multiple functional groups outside the ethics and compliance office to ensure curriculum content and methods meet legal, regulatory and corporate objectives. Directs the development and implementation of classroom, web-based and other media training programs for all employees designed to promote knowledge of the corporate code of conduct policies, legal and regulatory requirements of the organization. Manage, design, develop and oversee all web-based and other interactive media training programs. Keeps abreast of pending regulatory developments through reference sources and interacts with appropriate members of management to obtain insight and ensure training programs meet legislative agendas, at both the Federal and State levels. Coordinates with and ensures a uniform level of ethics and compliance training among all operating units of the corporation. Oversees the purchase of all training modules and interfaces with outside vendors and contractors. Must maintain a clear understanding of and focus on the goals and business risks and benefits of the appropriate training and educational environment to ensure employee compliance with legal code of conduct. Manages both internal and external resources required by the program. Manages responsibilities within the approved program budget. Provides leadership direction to professional and technical personnel in the training unit. Provides tracking and reporting functions for management. Education/Experience: Bachelor's degree and more than 8 years experience. Work experience should include a minimum of 3 years of management responsibility and relevant work in training and development.</p>
<p>Training Specialist - Ethics and Compliance</p>	<p>Works under very general direction. Exercises reasonable latitude in determining the appropriate techniques to accomplish objectives and assignments. Work is reviewed upon completion for adequacy in meeting objectives. Conducts needs analyses and designs and implements ethics, business conduct and compliance training and development programs. Interfaces with multiple functional groups outside the ethics and compliance office to ensure curriculum content and methods meet legal, regulatory and corporate objectives. Participates in the development and implementation of classroom, web-based and other media training programs for all employees designed to promote knowledge of the corporate code of conduct policies, legal and regulatory requirements of the organization's business. Develops and conducts presentation for new employees regarding the corporate code of conduct and ethics and compliance. Monitors the administrative system for tracking of employee participation in the organization's training and educational programs. Coordinates with and ensures a uniform level of ethics and compliance training among operating units of the corporation. Participates in the purchase of specific training materials and programs. Interfaces with outside vendors and contractors. Maintains a current knowledge and focus on the business risks and benefits of the appropriate training and educational environment to ensure employee compliance with regulatory and the organization's code of conduct. Coordinates both internal and external resources required by the program. Provides technical expertise, evaluates content and makes recommendation on incorporating all facets of corporate training programs into the business operation. Education/Experience: Bachelor's degree and more than 5 years experience. Work experience should include relevant work in training and development.</p>

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Corporate Ethics Helpline Administrator	<p>Works under very general direction. Exercises reasonable latitude in determining the objectives of assignments. Work is reviewed for soundness of technical judgment following corporate policies and procedures. Responsible for administering the corporate-wide anonymous, confidential reporting systems ("Helpline") allowing all employees, customers, contractors, and other stakeholders to disclose violations of the corporation's ethical standards, violations of law, or corporate policy relating to such matters without fear of retaliation. Manages the flow of "Helpline" inquiries to completion, and ensures that all employees, contractors, customers or vendor's allegations of unethical or illegal activity is referred to the appropriate resources within the Ethics and Compliance function. Tracks and maintains progress on referred issues, prepares statistical analysis and summarizes activities for review by the appropriate senior managers. Serves as the internal database coordinator for ethics and compliance tracking information systems. Maintains a functional knowledge of policies, code of conduct and issue-resolution processes. Monitors progress of investigation and summarizes, documents, and maintains accurate records of issues handled. Works on special projects related to the overall objectives of the organization and assists in external research on ethical policies and procedures as they relate to possible violations of the organization's established code of conduct. Prepares and maintains reports and statistical analysis of "Helpline" activity.</p> <p>Education/Experience: Bachelor's degree and more than 3 years experience or Associate's degree in a field of study related to the work and a minimum of 5 years of experience. Work experience should include relevant office administrative duties with highly confidential and sensitive issues. Computer literacy in database programs preferred.</p>
Business Unit Manager, Ethics and Compliance	<p>Plans, directs and manages on a day-by-day basis the corporation's comprehensive ethics, business conduct and compliance function under the direction of senior management in a operating unit based on predetermined goals and objectives. Participates in the development and implements strategies for all activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees, stakeholders and the communities in which the organization's operates. Responsible for effectively communicating the ethics and compliance standards and procedures to all employees and other agents, through training programs and publications. Provides expert advice and interpretation of the code of ethics and compliance, including the applicability of the organization's policies and programs to specific situations. Works with other subject matter experts to develop the most appropriate methods for maintaining employee awareness of the program and pertinent laws or regulations pertaining to the organization's business. Participates in updating and maintenance of the business unit's confidential reporting systems ("helpline"). Ensures that honest, candid and timely responses from the management are provided for inquiries. Responsible for ensuring a thorough investigation is conducted of alleged violations of the laws or regulations pertaining to the business. Provides direction and expert advice in the development of a compliance risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements. Works with various committees within the business unit that establishes policy on a variety of procurement matters. Coordinates closely with the senior executives, internal auditing, human resources and legal personnel relative to application, interpretation, and enforcement of the corporation's policies and procedures. Provides leadership direction to the professional staff within the ethics and compliance function in the business unit.</p> <p>Education/Experience: Master's degree and more than 3 years experience or Bachelor's degree and more than 5 years experience. Work experience should include a minimum of 2 years of management responsibility and relevant work in government regulatory compliance and laws.</p>
Business Unit Ethics and Compliance Specialist	<p>Works under very general direction within a major operating unit of the corporation. Independently determines and develops approaches to solutions. Work is reviewed upon completion for adequacy in meeting objectives. Works on assignments to monitor activities relating to standards of conduct, and ethical relationships with customers, contractors, suppliers, employees and the communities in which the organization is conducting its business. Coordinates and participates with other subject matter experts on the corporation's risk management program to assess, prioritize and manage legal and regulatory compliance risks based on the Federal Sentencing Guidelines requirements. Participates in the implementation of the corporation's comprehensive ethics, business conduct and compliance program throughout the business unit. Assist in the preparation of communication and distribution of materials to all personnel. Participates in creating the most appropriate methods for maintaining employee awareness of the program and pertinent laws or regulations pertaining to the organization's business. Assures that honest, candid and timely responses from the appropriate management personnel are provided for "helpline" inquiries. Monitors allegations of unethical activity through evaluation of risk and identification of solutions. Ensures that a thorough investigation is conducted of alleged violations of the Code, laws or regulations pertaining to the business. Coordinates closely with Internal Auditing, Human Resources and Legal executives relative to application, interpretation, and enforcement of the Code and the corporation's policies and procedures. Participates as an expert resource in the design and development of employee education and training programs regarding compliance with applicable laws, regulations and code. Participates in preparation and presentation of periodic reports to the senior executive of the business unit, Ethics and Compliance Committee members. Acts as a technical expert on ethics and compliance projects.</p> <p>Education/Experience: Bachelor's degree and more than 5 years experience. Work experience should include relevant work in government regulatory compliance and laws.</p>
Business Unit Ethics Helpline Associate	<p>Under general supervision performs tasks from detailed instructions, established policies and procedures as established for the corporation's confidential reporting system ("Helpline") within a business unit. The reporting system allows employees, customers, contractors and other stakeholders to disclose violations of the corporation's ethical standards, violation of law, or corporate policy without fear of retaliation. Screens all incoming "helpline" calls providing an anonymous, confidential service for answering questions or taking action on possible violations of the organization's code of conduct. Refers alleged violations of the laws or regulations to the appropriate resources within the Ethics and Compliance function of the business unit. Tracks and monitors the handling of all inquiries and investigations of complaints to conclusion. Maintains the business unit's database and information systems necessary for compiling, analyzing and reporting on matters affecting ethics, business conduct and compliance. Works on special projects related to the overall code of conduct objectives of the organization. Provides administrative support to the office of the business unit's Ethics and Compliance function. Education/Experience: Associate's degree in a field of study related to the work and a minimum of 3 years of progressive experience; or H.S. diploma with a minimum of 5 years progressive experience. Work experience should include relevant office administrative duties with highly confidential and sensitive issues. Computer literacy in word processing and database programs.</p>