



## Senior Ethics and Compliance Specialist Job Description

### JOB INFORMATION

|                          |   |
|--------------------------|---|
| <i>Job Code:</i>         | 133536  |
| <i>Job Title:</i>        | Senior Ethics and Compliance Specialist                 |
| <i>FLSA Status:</i>      | Exempt  |
| <i>Supervisory:</i>      | May oversee student, temporary and/or resource workers. |
| <i>Job Family:</i>       | J012  |
| <i>Job Family Group:</i> |   |
| <i>Management Level:</i> | 7 Individual Contributor                                |

### JOB SUMMARY

Manages non-research components of the conflict-of-interest compliance program. Drafts management plans, updates policies, reviews disclosures, and identifies potential improvements. Conducts workplace investigations into alleged conflicts of interest. Serves as a subject matter expert, developing and delivering training sessions as needed to reduce risk throughout the university.

### JOB QUALIFICATIONS:

#### Education

| <i>Req</i> | <i>Pref</i> | <i>Degree</i>     | <i>Field of Study</i>   |    |
|------------|-------------|-------------------|-------------------------|----|
| X          |             | Bachelor's degree | Business Administration | Or |
| X          |             | Bachelor's degree | Law                     | Or |
| X          |             | Bachelor's degree | Finance                 | Or |
| X          |             | Bachelor's degree | in related field(s)     |    |
|            | X           | Master's degree   | Business Administration | Or |
|            | X           | Master's degree   | Law                     | Or |
|            | X           | Master's degree   | Finance                 | Or |
|            | X           | Master's degree   | in related field(s)     |    |

#### Additional Education

**Check here if experience may substitute for some of the above education.**

Combined experience/education as substitute for minimum education

#### Work Experience

| <i>Req</i> | <i>Pref</i> | <i>Work Experience</i> | <i>Experience Level</i>  |  |
|------------|-------------|------------------------|--|--|
| X          |             | 7 years                | experience working with regulatory requirements, policies, and codes of conduct. |  |
|            | X           | 10 years               |  |  |

#### Additional Work Experience

**Check here if education may substitute for some of the above work experience.**

Combined experience/education as substitute for minimum work experience

## Knowledge, Skills and Abilities

| Req | Pref | Functional Skills  |
|-----|------|--|
| X   |      | Well versed in elements of effective compliance programs and experience in a communications and/or training role.  |
| X   |      | Advanced knowledge of risk management and liability issues affecting higher education.   |
| X   |      | Demonstrated leadership, interpersonal, organizational, critical thinking and analytical skills.   |
| X   |      | Advanced judgment, analytical, and decision-making skills.   |
| X   |      | Excellent written and oral communication skills, and an exemplary attention to detail.   |
| X   |      | Excellent executive program/project management skills with demonstrated ability addressing difficult and complex issues.   |
| X   |      | Ability to develop analytics from multiple streams of data, interpret trends, develop persuasive recommendations, and present information to varied audiences.       |
| X   |      | Demonstrated ability to work independently with minimal supervision, deftly handle time-sensitive matters, meet strict deadlines, and accomplish confidential tasks. |
| X   |      | Demonstrated experience with office management software/tools.   |
|     | X    | Multilingual skills, including Spanish.  |
|     | X    | Experience with compliance tools and/or systems including PostGrads, Community Academic Profiles (CAPs), PeopleSoft, Oracle Financials, and/or SeRA.                 |
|     | X    | Experience working on compliance with Title IX regulatory requirements in higher education, and familiarity with academic medical center environments.               |

## Certifications

| Req | Pref | Select Certifications | Enter Additional Certifications  |
|-----|------|-----------------------|--|
| X   |      |                       | Certified Compliance & Ethics Professional (CCEP) certification from Compliance Certification Board, or commitment to obtain such within one year post hire. |
|     | X    |                       | Lean Six-Sigma certification.  |

## Other Job Factors

- This position is designated as a Campus Security Authority (CSA) under the Clery Act and must comply with the requirements of said designation.

## JOB ACCOUNTABILITIES

|  | % Time | Essential | Marginal | N/A |
|--|--------|-----------|----------|-----|
| Manages the daily non-research components of the conflict-of-interest compliance program. Reviews and analyzes employee personal and financial disclosures for potential conflicts of interest. Investigates alleged violations of the conflict of interest policy; conducts other workplace investigations related to compliance and ethics.  |        |           |          |     |
| Develops and delivers training, both online and in-person, on conflicts of interest. Serves as a resource and subject matter expert to faculty/staff and leadership. Assists with needed training updates. Develops and implements specific improvements for schools/departments as needed.  |        |           |          |     |
| Works with varied stakeholders and departments (e.g., Department of Audit Services, Human Resources, Faculty Affairs) to reduce risk throughout the university. Assists senior leadership with institutional efforts to reduce third-party risk. Collaborates with business partners to develop, implement, and evaluate compliance guidance for internal/external processes. Partners with the Office of the General Counsel to review and interpret complex regulations before clearly communicating them to stakeholders. |        |           |          |     |
| Develops and drafts management plans to mitigate conflicts of interest. Assists with building a comprehensive program designed to ensure compliance and ethical decision-making across the university. Evaluates compliance training and development programs, identifying potential improvements and making recommendations as necessary.   |        |           |          |     |
| Ensures legal compliance of programs as necessary. Researches and identifies trends and best practices related to reducing conflicts of interest in higher education. Regularly updates university policies, procedures, and the code of   |        |           |          |     |

## JOB ACCOUNTABILITIES

|   | <i>% Time</i> | <i>Essential</i> | <i>Marginal</i> | <i>N/A</i> |
|---|---------------|------------------|-----------------|------------|
| ethics. Stays current with changes to laws/regulations which may affect communications and university policies.   |               |                  |                 |            |
| Promotes an environment that fosters inclusive relationships and creates unbiased opportunities for contributions through ideas, words, and actions that uphold principles of the USC Code of Ethics. |               |                  |                 |            |

## Other Requirements

| <i>Essential:</i>  | <i>Emergency Response/Recovery</i>   | <i>Essential:</i> | <i>Mandated Reporter</i>  |
|--|--|-------------------|---|
|  | In the event of an emergency, the employee holding this position is required to “report to duty” in accordance with the university’s Emergency Operations Plan and/or the employee’s department’s emergency response and/or recovery plans. Familiarity with those plans and regular training to implement those plans is required. During or immediately following an emergency, the employee will be notified to assist in the emergency response efforts, and mobilize other staff members if needed. |                   | A mandated reporter who in his or her professional capacity has knowledge of, or reasonably suspects a person who is under the age of 18 years, elderly, or a dependent adult has been the victim of abuse or neglect must report the suspected incident. The reporter must contact a designated agency immediately or as soon as practically possible by telephone or in writing within 36 hours. By virtue of the associated job duties, this position qualifies as a mandated reporter as required by state law and USC’s policy at: <a href="https://policy.usc.edu/mandated-reporters/">https://policy.usc.edu/mandated-reporters/</a> |
| <i>Campus Security Authority (CSA)</i>   |  |                   | <i>Essential:</i>   |
| By virtue of the associated job duties, this position qualifies as a Campus Security Authority as required by law and USC’s policy at: <a href="https://dps.usc.edu/alerts/clery/">https://dps.usc.edu/alerts/clery/</a> |  |                   | Yes   |

## ACKNOWLEDGMENTS

The above statements reflect the essential and non-essential functions as necessary to describe the principle contents of the job. They are not intended to be a complete statement of all work requirements or duties that may be required of the position. I understand that I may be asked to perform other duties as assigned. USC reserves the right to add or change duties at any time.

The University of Southern California is an Equal Opportunity Employer. USC prohibits discrimination on any basis protected under federal, state, or local law, regulation, or ordinance or university policies. All employment decisions are based on individual qualifications and business need.

I acknowledge receipt of this job description and its associated physical requirements. I have read and understand the job description and job requirements and agree to abide by their contents. I realize that duties may be requested of me that are not specifically stated herein. I understand that I will be expected to adjust to potential fluctuations in work volume. I understand that, if I have any questions about the essential functions or expectations of my position, my supervisor and/or HR partner are available to discuss them with me.

\_\_\_\_\_  
Print Employee Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Manager Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

This job description describes the general nature and level of work required by the position. It is not intended to be an all-inclusive list of qualifications, skills, duties, responsibilities or working conditions of the job. The job description is subject to change with or without notice, and Management reserves the right to add, modify or remove any qualification or duty. Nothing in this job description changes the existing at-will employment relationship between the university and the employee occupying the position.