

Compliance & Ethics

COMPLIANCE & ETHICS: Develops, implements, administers and certifies compliance policies, procedures, and practices. Ensures alignment with legal ethical standards of the organization. Provides compliance advice, investigates complaints and verifies deficiencies are corrected. Develops employee communication and training programs that focus on the elements of a company-wide compliance program. Analyzes metrics and audits functional compliance program. Maintains current knowledge of laws for financial, advertising and marketing reporting, regulations, and industry guidance that impact the company's compliance program. REGULATORY COMPLIANCE: Interprets federal and state and/or international regulations as they apply to products, financial processes, and other processes, practices and procedures. Investigates and resolves compliance problems, questions, or complaints received from other units of the company, customers, government regulatory agencies, etc. Implements policies and procedures to ensure that these are in compliance with the appropriate statutes and regulations and that regulatory reporting requirements are met. May develop and implement programs designed to increase employee awareness and knowledge of compliance policies. May audit and evaluate current policies, procedures, and documentation for compliance with government laws and regulations. May include compliance review and approval of promotional materials, including post marketing.

	Level 1	Level 2	Level 3	Level 4	Level 5
	Compliance Analyst I	Compliance Analyst II	Compliance Analyst III	Sr. Compliance Analyst	Compliance & Ethics Manager
Knowledge	Limited use and/or application of basic principles, theories, and concepts. Limited knowledge of industry practices and standards.	Frequent use and general knowledge of industry practices, techniques, and standards. General application of concepts, and principles.	Complete understanding and application of principles, concepts, practices, and standards. Full knowledge of industry practices.	Contributes to the development of new concepts, techniques, and standards. Considered expert in field within the organization.	Develops advanced concepts, techniques, and standards. Develops new applications based on professional principles and theories. Viewed as expert in field within the corporation.
Problem Solving	Solves routine problems of limited scope and complexity following established policies and procedures.	Develops solutions to a variety of problems of moderate scope and complexity. Refers to policies and practices for guidance.	Develops solutions to a variety of complex problems. May refer to established precedents and policies.	Develops solutions to complex problems which require the regular use of ingenuity and innovation. Ensures solutions are consistent with organization objectives.	Develops solutions to problems of unusual complexity which require a high degree of ingenuity, creativity, and innovativeness. Challenges are frequently unique and solutions may serve as precedent for future decisions.
Discretion/Latitude	Work is closely supervised. Follows specific, detailed instructions.	Works under only very general supervision. Work is reviewed for soundness of judgment and overall adequacy and accuracy.	Work is performed under general direction. Participates in determining objectives of assignment. Plans schedules and arranges own activities in accomplishing objectives. Work is reviewed upon completion for adequacy in meeting objectives.	Work is performed without appreciable direction. Exercises considerable latitude in determining objectives and approaches to assignment.	Works under consultative direction toward long-range goals and objectives. Assignments are often self-initiated. Virtually self-supervisory.
Impact	Contributions are usually limited to task-related activities. Errors do not typically have a major effect on the organization.	Contributes to the completion of organizational projects and goals. Errors in judgment or failure to achieve results would normally require a moderate expenditure of resources to rectify.	Exerts some influence on the overall objectives and long-range goals of the organization. Erroneous decisions or failure to achieve objectives would normally have a serious effect upon the administration of the organization.	Effects of decisions are long-lasting and heavily influence the future course of the organization. Errors in judgment or failure to achieve results would result in the expenditure of large amounts of company resources.	Decisions affect the financial, employee, or public relations posture of the organization. Erroneous decisions or recommendations would normally result in failure to achieve goals critical to the major objectives of the organization.
Liaison	Contacts are primarily with immediate supervisor, and other personnel in the section or group.	Frequent internal company and external contacts. Represents organization on specific projects.	Represents organization as a prime contact on contracts or projects. Interacts with senior internal and external personnel on significant matters often requiring coordination between organizations.	Serves as consultant to management and special external spokesperson for the organization on major matters pertaining to its policies, plans, and objectives.	Serves as prime consultant and external spokesperson for the organization on highly significant matters relating to policies, programs, capabilities, and long-range goals and objectives.

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Work Products (Examples may include but are not limited to)	Provide guidance to the Supply Chain group and responsible for Supply Chain Compliance administration and related activities.	Provide guidance to the Supply Chain group and responsible for Supply Chain Compliance administration and related activities.	Provide guidance to the Supply Chain group and responsible for SB activities, related Governmental reporting, related Supply Chain Compliance documentation audits, reporting, associated training, and Compliance administration	Provide guidance to the Supply Chain group and responsible for SB activities, related Governmental reporting, related Supply Chain Compliance documentation audits, reporting, associated training, and Compliance administration	Provide leadership and management of the Supply Chain Compliance group and responsible for Supply Chain compliance, associated training, audits, related reporting and administration.
Minimum Education and Experience	1+ years of directly related experience with a Bachelor's Degree in Supply Chain, Business or a related field. Basic MS Word, PowerPoint and Excel skills.	3+ years of directly related experience with a Bachelor's Degree in Supply Chain, Business or a related field. Intermediate MS Word, PowerPoint and Excel skills.	5+ years of directly related experience with a Bachelor's Degree in Supply Chain, Business or a related field. Advanced MS Word, PowerPoint and Excel skills.	10+ years of directly related experience with a Bachelor's Degree in Supply Chain, Business or a related field. Advanced MS Word, PowerPoint and Excel skills.	15+ years of directly related experience with a Bachelor's Degree in Supply Chain, Business or a related field. Advanced MS Word, PowerPoint and Excel skills.