



**NATIONAL OCCUPATIONAL STANDARD**

**ETHICS AND COMPLIANCE MANAGER**

**LEVEL 6**

**REFERENCE CODE / 18UMS0675-6**

**OFFICIAL GAZETTE DATE-NUMBER/ 9/6/2018 –  
30446 (Recurrent)**

<b>Occupation:</b>	<b>ETHICS AND COMPLIANCE MANAGER</b>
<b>Level:</b>	<b>6i</b>
<b>Reference Code:</b>	<b>18UMS0675-6</b>
<b>Agency(ies) preparing the Standard:</b>	<b>Ethics &amp; Reputation Society (TEID)</b>
<b>Sector Committee verifying the Standard:</b>	<b>MYK Business and Management Sector Committee</b>
<b>MYK Management Board Approval Date/ Number:</b>	<b>Decision Dated 21.03.2018 and No. 2018/39</b>
<b>Official Gazette Date/No:</b>	9/6/2018 – 30446 (Recurrent)
<b>Revision No:</b>	<b>00</b>

Qualification level of the occupation has been determined as level (6) on the eight (8) level matrix.

## **TERMS, SYMBOLS AND ABBREVIATIONS**

**NOTIFICATION SYSTEM:** means the system for submitting the possible or actual violations of ethics and compliance, which are encountered by the all stakeholders of the organization, to the competent authorities,

**AUDIT:** means the independent and objective control operation performed for the purpose of establishing trust so as to add value and develop the activities of an organization,

**ETHICS:** means the discipline constituted by universal principles and values, which is effective on the attitudes, behaviors, actions and decisions of the individuals,

**ETHICAL PRINCIPLES:** means the guiding values, principles and standards assisting the individuals in determining how the works should be done,

**ETHICS AND COMPLIANCE UNIT:** means the unit formed by the organizations within the themselves for compliance with the legislation and ethic rules,

**VIOLATION OF ETHICS AND COMPLIANCE:** means the situation of inability or failure to fulfill any compulsory requirement concerning any ethics and compliance management,

**ETHICS AND COMPLIANCE RISK ANALYSIS:** means the analysis of the possibility of occurrence of a certain violation of ethics and compliance, and intensity of the loss and damage that may be caused by the consequences of such occurrence,

**ETHICS AND COMPLIANCE POLICY:** means whole of policies arranged so as to ensure the compliance with the rules such as the rules which are part of ethics management framework and which are contained in the legislation, international binding laws, ethic standards and inhouse rules,

**ETHICS AND COMPLIANCE PROGRAM:** means the whole of policies and procedures created within the framework of the ethics and compliance policies in the organizations,

**ACTIVITY:** means the actions and works which incorporate financial assistance, technical support and other various resources, and whereby the same are activated in order to produce certain outcomes,

**ISCO:** means the International Standard Classification of Occupations,

**OHS:** means Occupational Health and Safety,

**RETALIATION:** means the situation where stakeholders of the organization are punished, dismissed, degraded, threatened and harassed due to their concerns of ethics and compliance, which they have notified,

**STAKEHOLDER:** means all the individuals and entities which are affected by the activities of the organization and which are in relationship with the organization,

**PERFORMANCE:** means the degree of exercising behaviors that are compliant with the predetermined standards as the requirement of any task and approaching to the anticipated objectives

### 3. OCCUPATION PROFILE

#### 3.1. Tasks, Operations and Performance Criteria

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
A	To implement the measures concerning OHS and environment protection	A.1	To implement safe and health working methods	A.1.1	Notifies the concerned persons or units if there are risk and hazard situations attributable to the character of the business processes, service recipients and/or organization.
				A.1.2	Uses the tools, instruments and equipment in accordance with the instructions and the organization's procedures.
				A.1.3	Follows up the legal and work area rules regarding occupational health and safety.
		A.2	To implement emergency plans	A.2.1	Acts in accordance with exit or escape plans in emergencies.
				A.2.2	Implements the basic first aid measures in the emergencies such as work accident, injury, occurring in the work environment.
				A.2.3	Contacts the emergency team for intervention in emergencies.
		A.3	To implement the environment protection standards and methods	A.3.1	Ensures that the environmental wastes and recyclable materials originating in the work environment are conveyed to the proper place.
				A.3.2	Uses the resources (energy, consumables, and the like) sparingly and efficiently.

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
<b>B</b>	To ensure compliance of the business processes with the legislation, organization's procedures and quality requirement	<b>B.1</b>	To follow up changes to the legislation and procedures concerning the business processes	<b>B.1.1</b>	Checks compliance of the processes under his/her own responsibility with the current legislation and organization's procedures.
				<b>B.1.2</b>	Continuously updates the processes under his/her responsibility according to the legislation/procedure changes.
		<b>B.2</b>	To implement the quality requirements	<b>B.2.1</b>	Implements the requirements of ensuring quality according to the type of the operation to be performed,
				<b>B.2.2</b>	Audits compliance of the process, tools-instruments and materials with the standards.
				<b>B.2.3</b>	Records the faults found in his/her areas of responsibility, and ensures their elimination.
				<b>B.2.4</b>	Assists his/her superior in creating procedures conforming to the service quality standards of the organization.
		<b>B.3</b>	Ensures confidentiality and security of the personal and corporate information	<b>B.3.1</b>	Takes access measures to ensure confidentiality and security of the business processes and information.
				<b>B.3.2</b>	Ensures that digital and physical security measures are taken for files and records

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
C	To prepare the ethics and compliance program	C.1	To analyze the current status of the organization	C.1.1	Evaluates the current status by examining the internal structure of the company, legal legislation, stakeholders, financial, external, sectoral and environmental factors.
				C.1.2	Identifies the potential risks according to the current status covering the internal structure of the company, legal legislation, stakeholders, financial, external, sectoral and environmental factors.
				C.1.3	Prioritizes the potential risks identified according to the current status covering the internal structure of the company, legal legislation, stakeholders, financial, external, sectoral and environmental factors.
				C.1.4	Determines the violations of ethics and compliance that have taken place previously by checking the current status of the organization.
		C.2	To ensure agreement with the organization's management on the scope of the program	C.2.1	Prepares the budget of the ethics and compliance unit pertaining to the budget period in line with the collected data and envisaged budget parameters, and receives approval.
				C.2.2	Sets the targets of the program in line with the expectations of the organization's management from the Ethics and Compliance program.
				C.2.3	Receives approval from the competent authority for the ethics and compliance program and policies of the organization.
		C.3	To ensure that inhouse roles and responsibilities are defined for the program	C.3.1	Determines the job descriptions, competencies and performance criteria of the employees of the ethics and compliance unit according to the scope of the program.
				C.3.2	Communicates / ensures communication of, the Ethics and Compliance Program, to the employees of the unit.
				C.3.3	Evaluates the Ethics and Compliance Unit according to quality rules and job descriptions.

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
C	To prepare the ethics and compliance program	C.4	To ensure that policies and procedures of the program are prepared	C.4.1	Creates with the support of the concerned divisions the general ethics and compliance policies and procedures regarding all the activities according to the values, structure and sector of the organization.
				C.4.2	Creates the specific policies and procedures addressing the prioritized risk areas according to the values, structure and sector of the organization.
				C.4.3	Develops internal and external audit procedures so as to monitor and detect any abuse or noncompliance.
		C.5	To ensure creation of internal and external communication mechanism of the program	C.5.1	Puts in place a notification system which will allow notification of any violation of ethics and compliance among the stakeholders within and outside the organization, without fear or retaliation.
				C.5.2	Ensures that the notification system is sufficiently announced among all the stakeholders of the organization.
				C.5.3	Ensures that processes to protect the employees from retaliation are available.
				C.5.4	Develops a mechanism to provide feedback to the notifiers about the problem solution.

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
<b>D</b>	To ensure that the ethics and compliance program is implemented	<b>D.1</b>	To give information about the implementation process of the program	<b>D.1.1</b>	Ensures that the ethics and compliance program of the organization and the elements of the program (policies and procedures) are announced to all the employees.
				<b>D.1.2</b>	Receives a certificate from all the employees of the organization evidencing that the policies and procedures have been received and understood.
				<b>D.1.3</b>	Ensures coordination of the implementation phase of the Ethics and Compliance program with the concerned units.
		<b>D.2</b>	To hold ethics and compliance trainings	<b>D.2.1</b>	Determines the analysis method (survey, interview, focus group study, brainstorming, evaluation center, and the like) in the training needs analysis considering the management structure of the organization, corporate culture, and characteristics of the areas of activity.
				<b>D.2.2</b>	Determines the training needs which cannot be envisaged and which may current emerge.
				<b>D.2.3</b>	Determines content of the trainings.
				<b>D.2.4</b>	Ensures that the training is given in cooperation with the respective units.
				<b>D.2.5</b>	Evaluates outcomes of the training.
				<b>D.2.6</b>	Follows up the legal developments involving the Ethics and Compliance policies, and ensures that the best practices are reflected to the company through internal trainings.
				<b>D.2.7</b>	Prepares guides, manuals, brochures and similar materials for the employees to reduce the Ethics and Compliance risks and for training.
<b>D.3</b>	To follow up the violations of ethics and compliance and notifications of the same	<b>D.3.1</b>	Ensures that the allegations of violations of ethics and compliance, which are submitted to the notification system or which are revealed by himself/herself, are investigated with the support of the concerned units.		



Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
<b>D</b>	To ensure that the ethics and compliance program is implemented	<b>D.3</b>	To follow up the violations of ethics and compliance and notifications of the same	<b>D.3.2</b>	Identifies the violations of Ethics and Compliance, which are notified to him/her or which are revealed by himself/herself.
				<b>D.3.3</b>	Activates the audit mechanisms about the violations of Ethics and Compliance, which are notified to him/her or which are revealed by himself/herself.
				<b>D.3.4</b>	Ensures that the violations of ethics and compliance are forwarded to the management body he/she is affiliated to within the framework of the determined powers.
				<b>D.3.5</b>	Involves the human resources and legal departments in the process where necessary.
				<b>D.3.6</b>	Reports to the management body he/she is affiliated to about the identified violations of ethics and compliance.
				<b>D.3.7</b>	Ensures that the notified and investigated violations of compliance are answered by means of feedback mechanisms.

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<b>D</b>	To ensure that the ethics and compliance program is implemented	<b>D.4</b>	To carry out awareness studies regarding ethics and compliance	<b>D.4.1</b>	Contacts all the stakeholders of the organization about the general vision of the organization regarding ethics and compliance, and the operation risks.
				<b>D.4.2</b>	Communicates the ethics and compliance values determined across the organization.
				<b>D.4.3</b>	Motivates the employees to implement the ethics and compliance values determined across the organization.
				<b>D.4.4</b>	Works with all the units of the organization to achieve the targets of the ethics and compliance targets.
				<b>D.4.5</b>	Provides consultancy for the questions of the management and employees with regard to the ethic culture.
				<b>D.4.6</b>	Follows up the studies carried out by all the concerned associations, civil society organizations, professional organizations, universities, for development of ethics and compliance.
		<b>D.4.7</b>	Answers the demands of the international, sectoral or local decision makers for contribution to joint actions.		
		<b>D.5</b>	To conduct monitoring and reporting of the ethics and compliance program	<b>D.5.1</b>	Determines if the audit and monitoring activities cover all the risk areas in the field of ethics and compliance involving the organization.
				<b>D.5.2</b>	Determines the monitoring techniques of the ethics and compliance program according to the values, structure and sector of the organization.
				<b>D.5.3</b>	Regularly implements the monitoring activities concerning the Ethics and Compliance program.
<b>D.5.4</b>	Periodically reports the activities he/she carries out to the authorized management body according to the organization's procedures.				
<b>D.5.5</b>	Prepares reports to be given to the other stakeholders or shared with the public at defined intervals.				

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
<b>D</b>	To ensure that the ethics and compliance program is implemented	<b>D.6</b>	To ensure that the ethics and compliance program is updated	<b>D.6.1</b>	Reviews implementation of the Annual Ethics and Compliance Plan.
				<b>D.6.2</b>	Ensures coordination of the development phase of the Ethics and Compliance program with the management.
				<b>D.6.3</b>	Conveys to the ethics and compliance program the information updated in line with the legislation change and/or inhouse changes made with regard to the fields of activity.
				<b>D.6.4</b>	Ensures that the Ethics and Compliance program is updated in line with the changes in the gen, management policies of the program.

Tasks		Operations		Performance Criteria	
Code	Name	Code	Name	Code	Explanation
<b>E</b>	To engage in occupational development activities	<b>E.1</b>	To ensure individual occupational development	<b>E.1.1</b>	Plans periodic professional development according to the personal career targets.
				<b>E.1.2</b>	Follows up new methods, approaches, tendencies and technologies concerning the Ethics and Compliance Management.
				<b>E.1.3</b>	Follows up the developments and legislation in the field and sector he/she serves.
				<b>E.1.4</b>	Participates in seminars, conferences, panels, workshops and similar events concerning his/her occupation.
		<b>E.2</b>	To give support to occupational development of his/her colleagues and development of his/her stakeholders	<b>E.2.1</b>	Shares information with his/her colleagues about his/her working method and experiences
				<b>E.2.2</b>	Gives training to his/her colleagues and/or the personnel in the organization he/she serves about occupational matters in accordance with their competencies

### **3.2. Tools, Instruments and Equipment Used**

1. Computer and hardware (printer, scanner, external memory, and the like)
2. Communication tools (telephone, tele-conference systems, facsimile, internet and access devices)
3. Source and implementation documents (general forms, procedures, work instructions, collective / individual employment agreements, judicial decisions, and the like)
4. Stationery materials
5. Office tools (photocopier, projector, document shredder, calculator, paper cabinet containing lock system, and the like)
6. Optic/digital recording and imaging devices (photo camera, video camera, and the like)

### **3.3. Knowledge and Skills**

1. Analytic thinking skill.
2. Investigation and reporting knowledge and skill.
3. Labor legislation knowledge.
4. Skill of working in a team
5. Knowledge and implementation skill of effective communication (personal, interpersonal, organizational) techniques.
6. Knowledge on legal arrangements concerning the field/sector of activity.
7. Knowledge on OHS and environmental protection measures.
8. Business analysis knowledge.
9. Quality knowledge.
10. Knowledge on policies and procedures of the organization's human resources.
11. Planning and organization skill.
12. Risk management knowledge.
13. Process analysis knowledge.
14. Basic budgeting knowledge.
15. Management skill

### **3.4. Attitudes and Behaviors**

1. Using the working time effectively and efficiently.
2. Complying with the environmental, quality and OHS rules.
3. Being open to change and adapting to the changing conditions.
4. Being prone to teamwork.
5. Establishing effective communication, and demonstrating suitable (verbal and nonverbal) communication skills.
6. Acting in compliance with the general business ethics rules.
7. Acting in compliance with the working principles at the workplace.
8. Caring for use of the tools, instruments and hardware belonging to the workplace.

#### **4. MEASUREMENT, EVALUATION AND CERTIFICATION**

The measurement and evaluation to be performed for the purpose of certification according to the national qualifications based on the occupational standard of Ethics and Compliance Manager (Level 6) will be performed in writing and/or verbally theoretically and practically, at the measurement and evaluation centers where the necessary conditions are provided.

The measurement and evaluation method and the implementation guidelines are detailed at the national qualifications to be prepared according to this occupational standard. The operations concerning measurement, evaluation and certification are carried out within the framework of the Regulation on Examination Measurement, Evaluation and Certification by the Occupational Qualifications Authority, published on the Official Gazette dated 15/10/2015 and no. 29503.