Business Certificate in Ethics & Compliance Program
San Francisco State University
College of Business Proposal for Fall 2015 Implementation

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Introduction
A graduate-level academic Business Certificate in Ethics & Compliance is an opportunity to further build SF State’s graduate business student curriculum to meet current demands for early to mid-career professionals. Three College of Business Ethics & Compliance Workshops (2013-14) attended by numerous Bay Area employers have demonstrated an interest and urgency to recruit SF State students with business degrees and training in Ethics & Compliance. The certificate is a unique program that fulfills management and business needs for Ethics and Compliance professionals in growth industries such as healthcare, biotech, pharmaceutical, information technology services and products, finance and accounting, manufacturing and hospitality. Beginning January 2015, the College of Business began offering an MBA Emphasis in Ethics & Compliance requiring three courses (ethics & compliance, leadership, and negotiation, plus two additional electives on advisement. This emphasis builds a focus on key academic areas for executive and managerial applied aspects of ethics and compliance issues faced by a variety of organizations. The Certificate program would provide a complementary addition to the College of Business graduate studies programs for prospective students and those seeking additional professional academic credentials.

Rationale for development
A three-course (9 academic graduate business credit hours) certificate program in Ethics and Compliance provides access to students and professionals seeking very specific academic training. These individuals may already have either a graduate degree, or are seeking graduate-level certificate course preparation for their further professional development. Ethics and Compliance (E&C) executives and their staff members are increasingly needed across industries, yet few educational institutions have an academic curriculum or specific degree programs to meet the rising need for preparing university students for roles in E&C.
Ethics and compliance (E&C) specialists work to prevent their organizations from committing errors that violate ethical standards of best practice or regulatory compliance. E&C specialists assess a company’s potential adverse or ethical impacts on their stakeholders. These specialists may also use analytical tools, such as Enterprise Risk Management (ERM), to proactively measure the effectiveness of ethical practices and assess compliance with U.S. and global regulations by identifying specific situations of risk to an organization’s stakeholders (i.e., employees, customers, suppliers, regulators and communities). Two key areas of need for E&C specialists are leadership in instantiating internal control and strategic planning in various functional areas of a company. Their role is to reduce the risk of unethical or illegal activities by individuals working in organizations through the development of policies and procedures to prevent these ethical failures. E&C specialists must be able navigate within an organization to instantiate best practices using ethical negotiation skills. Examples of tools developed by E&C specialists include developing and supporting corporate codes of conduct, employee training, regulatory compliance processes, analytical assessment and forecasting, negotiation strategies, as well as advisement to top management and senior organizational leaders towards ethical corporate cultures.

**Distinguishing Program Features**

The Ethics and Compliance field requires ongoing continuing education and certification. Few universities currently offer MBA or MS programs in this field of study, and none in the Bay Area. Current university programs in this field are exploratory and offered as online programs, rather than face-to-face classroom opportunities to meet with faculty and industry experts, as well as engage in internships. The *Business Certificate Program in Ethics & Compliance* will fill the academic void for multiple industries in ethical business operations preparation.

The advisors for this proposal have extensive academic, leadership, human resources, risk management, and organizational ethics backgrounds. The advisors have developed a strategic relationship with a number of Bay Area employers in the area of ethics and compliance. As a result, Kaiser Permanente has asked the College of Business to partner in an educational focus for their employees and for potential SF State student recruitment by developing an academic and practitioner-level *Business Certificate Program in Ethics & Compliance*.

- Kaiser has over 500 employees in the E&C expertise area in the U.S. (70% in California) and is looking to hire 50 employees per year in the E&C area. (See Appendix 1)

The College of Business has additional corporate partners across industries, including Deloitte & Touche, PricewaterhouseCoopers, Blue Shield of California, Holland America Cruise Lines, and several other Bay area biotech/pharmaceuticals eager to reach out to our graduates to fill their increasing E&C needs. They have provided executive speakers for our educational programs, including three College of Business Ethics & Compliance Workshops for executives and student held at our Downtown campus (November 2013, April 2014 and November 2014). These organizations would like to partner with SFSU’s College of Business to develop curriculum that meets the needs of best business practices in ethics and compliance.
Certificate learning outcomes include developing key skills for students in:

- ethical issues identification and solutions-based mindsets, *(MGMT 850)*
- ethical analysis and data-analytics decision-making models for strategic planning, *(MGMT 850)*
- understanding the demands of transparency and Sunshine Laws, *(MGMT 850)*
- effectively understanding, negotiating and managing business risks and safety for stakeholders, *(BUS/IBUS 859, MGMT 857)*
- understanding the compliance and regulatory challenges of global business practices, examples include: FCPA, Sunshine Laws, HIPAA, Affordable Care Act, ADA, EEOC, Sarbanes Oxley, Dodd-Frank, EPA, etc. *(MGMT 850)*
- compliance aptitude as a strategic partner for organizational integrity, *(MGMT 850)*
- measuring and auditing the effectiveness of compliance programs, *(MGMT 850)*
- integrating ethics and aligning compliance management and risk management with analytics, *(MGMT 850)*
- understanding the complexities of technology and protections for stakeholder privacy, *(MGMT 850)*
- developing organizational operations, training and structures under Chief Ethics and Compliance Officers, *(BUS/IBUS 859)*
- operating as change agents in the negotiation to effect organizational change, *(BUS/IBUS 859)*
- developing best practices in leadership of organizational processes and managing stakeholder impacts. *(MGMT 857)*

**Required Courses (3 graded courses, total 9 academic credit hours)**

Students seeking expertise in Ethics and Compliance must complete each of the following three graduate MBA courses (total nine credit hours) with a letter grade of at least a B in order to attain the *Business Certificate in Ethics & Compliance*. The three courses selected are critical skill-building courses in foundational ethics and compliance, operational organizational leadership with integrity, and applied negotiation skills in working inter- and intra-organizationally. These are integrated, existing, and consistently offered faculty-taught MBA courses in the College of Business that address pertinent skills needed for Ethics and Compliance specialists and others working in organizations.

**MGMT 850: Ethics and Compliance in Business** - Prerequisite: Graduate status or consent of instructor. Focus on integrity, understanding and applying managerial ethical decision-making, understanding regulatory compliance as it relates to a variety of organizational functions, developing ethics training, and evaluating stakeholder impacts. Extensive use of decision-making application models through case studies and interactive exercises. Research or internship in an area specific to students’ careers.

**MGMT 857: Leadership in Action** - Prerequisite: two 800 level business courses, or consent of instructor. This course focuses on the strategic, operational, functional, ethical and integrity challenges of leadership in practice. It is taught by faculty using leadership readings, case studies, experiential exercises, and incorporates frequent corporate leaders as guest speakers.
**BUS 859/IBUS 859: Business Negotiating in the Global Economy** – Prerequisite: Graduate status or consent of instructor. Development of business negotiating skills through experiential exercises, negotiation role-plays, and cases involving common business negotiation situations and contexts. An emphasis is placed on learning negotiation fundamentals first, and then understanding how to adjust those fundamentals to be effective internationally and cross-culturally. Integrity and ethics issues associated with domestic and international negotiations are explored. This course is offered as BUS 859 and IBUS 859. Students may not repeat the course under an alternate prefix.

**Admissions Requirements**

Baccalaureate degree with a minimum of a 3.0 GPA demonstrated on submitted sealed or electronic university or college transcripts and an English writing sample will be required to be admitted as a post-baccalaureate unclassified student to the Business Certificate in Ethics & Compliance program.

Application to the graduate level Business Certificate in Ethics & Compliance program requires a two-part process. Students must apply to the University via the online CSU Mentor application AND apply to the College of Business’ Ethics & Compliance Certificate program (see link below). San Francisco State University accepts applications for admission for the Fall and Spring semesters only, but some courses in the certificate program may be offered during the summer months. Admissions decisions for student acceptance/decline for the program will be 4 – 6 weeks after all transcripts are received.

**Application to the MBA Program**

A student in the Business Certificate in Ethics & Compliance program may apply the academic credit for the three courses to the SF State College of Business MBA program after applying for and being accepted to the MBA program (matriculate), but the student must complete the MBA program within seven years from the completion of each Business Certificate in Ethics & Compliance class for each class to receive credit towards the MBA. MBA students who satisfy the Emphasis in Ethics and Compliance will be eligible for the Business Certificate in Ethics & Compliance. (Please see the following guidelines on the certificate program application and enrollment into the MBA program.)
SF State College of Business

Business Certificate in Ethics & Compliance

Admissions and Application Procedures

ADMISSIONS

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The following processes must be followed to be considered for admission to the graduate *Business Certificate in Ethics & Compliance* program at SF State (see application checklist at [http://cob.sfsu.edu/graduate-programs/application-checklist](http://cob.sfsu.edu/graduate-programs/application-checklist)).

APPLICATION – Two Steps

Apply to the **College of Business** and the **University** online via: [http://cob.sfsu.edu/graduate-programs/application-checklist](http://cob.sfsu.edu/graduate-programs/application-checklist). You will be able to apply directly to the *Business Certificate in Ethics & Compliance program* and San Francisco State University on this page. Please note that there will be two online applications, one for the university application and one for the certificate program application. At the CSU Mentor website at [http://www.csumentor.edu](http://www.csumentor.edu), pay the required application fee and submit your official transcripts from all colleges and universities attended to the Division of Graduate Studies. Applicants with multiple transcripts should remember that it may take the college or university issuing the transcripts several weeks to send the documents to SFSU. To ensure more rapid processing, applicants should gather official University-sealed transcripts from each institution previously attended, place them **together in the same large envelope** and submit them by mail or in person to Graduate Admissions, San Francisco State University, 1600 Holloway Avenue (ADM 250), San Francisco, CA 94132-4013. *eTranscripts* will be accepted from participating universities and should be sent to [grads@sfedu.edu](mailto:grads@sfedu.edu).

Transfer Credit from Other Institutions, including graduate courses taken at another university, **are not** transferable to the College of Business Certificate in Ethics & Compliance program.

Be mindful of the University and College of Business certificate program deadlines: University deadlines are found at: [http://www.sfsu.edu/~gradstdy/program-deadline.htm](http://www.sfsu.edu/~gradstdy/program-deadline.htm) and the *Business Certificate in Ethics & Compliance* application deadlines are **June 1 for Fall admission** and **November 1 for Spring admission**. Evaluation of a student application will **not** be initiated until all University application materials have been received. **Admissions decisions for student acceptance/decline for the program will be 4 – 6 weeks after all transcripts are received.**
The SFSU College of Business Certificate in Ethics & Compliance program courses are transferable to the SFSU MBA program. MBA students who satisfy the Emphasis in Ethics and Compliance will be eligible for the Business Certificate in Ethics & Compliance. But, application and intent to enroll in the MBA program must be done separately and no later than seven years from the start date of the student’s completion of their first certificate program class. The MBA application requires a GMAT or GRE exam.

NOTICE OF ADMISSION OR DENIAL

After review of all application materials, the College of Business Certificate in Ethics & Compliance admission committee will notify the SF State Graduate Admissions office of their admission recommendations. Applicants will be formally notified of their admission status in 4 – 6 weeks after all transcripts and records are received with receipt of the official SF State Graduate Admission Notification Letter, issued by the SF State Division of Graduate Studies. Letters of admission from the Business Certificate program received prior to the official SF State Admission Notification Letter are not binding. Applicants who are denied by either the University or the College of Business Certificate program will receive notification of denial from the Division of Graduate Studies. Applicants can monitor their admission status online on the SF State Gateway, which can be accessed 24/7 from the Graduate Studies or University main web pages.

Admission status as Post-baccalaureate Unclassified: Students admitted to the graduate Business Certificate in Ethics & Compliance program will register for classes as Post-baccalaureate Unclassified students and should contact the College of Business Graduate Studies office for scheduling an advisor meeting prior to registering for the certificate courses.

(Source adaptation from: http://bulletin.sfsu.edu/sfstatebulletin/graduate/gadmit/Introduction_to_Graduate_Studies and http://cob.sfsu.edu/graduate-programs/application-checklist accessed 1/30/15)
Appendix 1

Business Certificate in Ethics & Compliance

Demonstration of Need and Support

- **SF State Student value**
  - Training by faculty and E&C practitioners
  - Co-op and internship availabilities with Bay Area employers
  - Mentoring by leadership sponsors from Bay Area employers
  - Development of student training and experience portfolios
  - Recruiting and hiring – aging E&C execs and staff
  - Only program of its type in Bay Area

- **SF State Alum**
  - Training by faculty and E&C practitioners
  - Co-op and internship availabilities with Bay Area employers
  - Mentoring by leadership sponsors with Bay Area employers
  - Ongoing training and experience

- **Ethics & Compliance Staff in industries**
  - Builds field of knowledge and legitimacy
  - Strengthens ethics and compliance training in organizations
  - Enhances further educational credentialing
  - Transfers of knowledge and enhancement of strategic planning
  - Develops shared best practices within and between industries
  - Develops pipeline of educated recruits for hiring – succession planning

- **Bay Area Employer Support**
  - Kaiser Permanente support:
    - Speakers, course content legitimacy with healthcare case studies
    - Human Resources tuition reimbursement for KP employees
    - Market certificate program to employees and facilitate enrollment
    - Internships, mentoring, recruiting, hiring
    - Workshops support: E&C biannual workshops + Summer Leadership in Action workshop
    - Industry leader in focusing on E&C and best practices
Library Consultation

From: Gina M Castro
Sent: Wednesday, March 25, 2015 1:38 PM
To: Alexandra Katz; Denise Kleinrichert
Cc: Sally A Baack; Bruce Paton; David Steele Hellman; Mira C Foster; Joseph A Daniels
Subject: RE: new program proposal for CoB - Graduate Business Certificate in Ethics & Compliance

Everyone:

I have reviewed the proposal for the Business Certificate in Ethics & Compliance and do not anticipate that it will place an increased demand on Library resources. Since our collection development is curriculum driven, titles purchased to support the College of Business curriculum already include books written on the topic of business ethics. When available and appropriate, titles are purchased as e-books. This format not only permits access from the Downtown Campus, but also allows off-campus access by any of our students or faculty. Our subscription databases, also accessible remotely, index scholarly and trade publications, many of which are available full-text online. Titles available electronically include *Journal of Business Ethics, Business Ethics Quarterly, Journal of Business Research, Ethics & Behavior*, and *Corporate Governance: an International Review.*

I hope this addresses the criteria for the Library review, but please do not hesitate to contact me if you have any further questions.

Best regards,

Gina

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