

SANTA CLARA COUNTY OFFICE OF EDUCATION
Personnel Commission

CLASS TITLE: DIRECTOR – ETHICS AND COMPLIANCE INVESTIGATIONS

BASIC FUNCTION:

Under the direction of the County Superintendent of Schools, ensures the integrity of the Santa Clara County Office of Education (SCCOE) operations by conducting investigations and assessments and recommending remediation to safeguard the organization's compliance with internal policies, the Education Code, applicable laws and regulations, and contractual and bargaining agreements as they relate to both non-personnel and personnel matters; leads and oversees internal investigations into ethical and compliance-related matters and collaborates with various stakeholders to uphold the highest standards of integrity, accountability, and transparency within the organization; provides strategic oversight of the organizational risk management, loss prevention, and employee and student health and safety programs; advises administration and employees concerning risk avoidance; supervises and evaluates the performance of assigned personnel.

REPRESENTATIVE DUTIES:

ESSENTIAL DUTIES:

- Leads and facilitates investigations initiated by or under the authority of the County Superintendent; ensures processes comply with applicable laws, policies and procedures while maintaining confidentiality and impartiality; provides clear documentation, timely updates, and well-reasoned findings to support informed decision-making and organizational accountability.
- Manages the SCCOE complaints portal and other channels for receiving complaints, ensuring timely review and assessment of submissions; collaborates with SCCOE leadership to strategically assign matters to appropriate parties, monitor outcomes, and implement process improvements to enhance organizational responsiveness and compliance.
- Consults with the Assistant Superintendent of Human Resources to monitor the status of grievances and recommend consequences for the purpose of ensuring that additional discrimination, harassment, and retaliation do not occur; consults with the Assistant Superintendent of Human Resources to assign staff or a third party to investigate grievances as needed.
- Leads and conducts investigations into personnel and non-personnel complaints, including but not limited to ethical violations, legal non-compliance, policy and regulatory breaches, discrimination, harassment, retaliation, and misconduct; ensures a fair, impartial, and thorough process; analyzes findings to assess risks, identify systemic issues, and recommends remediation or training to prevent future occurrences.
- Works closely with legal counsel, Human Resources, and other departments to address complex issues; collaborates with impacted departments by providing feedback on investigations,

potential trends, mitigation strategies and prescribed training.

- Provides strategic oversight of organizational risk management to protect SCCOE assets and minimize losses and expenses; analyzes organizational data and trends to identify exposures and emerging risks; collaborates with leadership to develop and evaluate risk mitigation and loss control strategies.
- Accurately tracks and maintains documentation and data on investigations and compliance matters related to non-personal and personnel issues, Title VII, Title IX, and other matters; analyzes information to assess risks, identify systemic issues and recommend training to prevent future occurrences.
- Collaborates with General Counsel to coordinate the agency's response to complaints involving the SCCOE; ensures responses are timely, appropriate, and in compliance with applicable laws and policies while upholding the integrity, accountability and transparency of SCCOE operations.
- Works closely with the Title IX coordinator; leads and guides department staff on all active Title IX investigations, ensuring adherence to the formal grievance process and investigation procedures required under Title IX; provides training and guidance on compliance best practices to ensure consistency, fairness, and legal compliance.
- Collaborates with internal and external stakeholders (e.g., other administrators, auditors, public agencies, community members, etc.) to support investigations and deliver staff training.
- Responds to administrators regarding parent and staff complaints and other sensitive matters related to employee conduct.
- Coordinates agency-wide compliance efforts, including the development and delivery of training for SCCOE staff and supervisors to ensure adherence to internal policies, the Employee Handbook, and applicable laws; provides proactive guidance and support to recognize, prevent and address non-compliance discrimination, harassment, and retaliation, while promoting continuous improvement across the organization.
- Provides information, reports and analysis to the County Superintendent and other leadership as required; complies and communicates aggregate data on complaints, grievances and compliance issues for the purpose of providing factual information and managing organizational accountability.
- Prepares confidential, comprehensive, and accurate investigative reports summarizing evidence gathered, provides analysis, and issues findings of fact to support recommended actions; confers with Human Resources on recommendations on employee discipline and performance as needed.
- Testifies, as assigned or required, at special hearings at the SCCOE and other agencies to support disciplinary decisions; prepares correspondence on adverse action regarding employee performance or behavior.
- Provides guidance and support to other departments as needed, including contract review and creation, ensuring alignment with the Employee Handbook, applicable state laws and SCCOE policies.

- Develops and designs comprehensive investigation plans and trains/leads department staff to adhere to required protocol and best practices, as well as trauma-informed practices.
- Analyzes and coordinates safety programs in conjunction with the Emergency Preparedness, School Safety and Security Administrator, and ensures compliance with the California Occupational, Safety, and Health Administration (CAL OSHA) requirements and Environmental Protection Act (EPA) standards; manages program to ensure all staff receive required CAL OSHA trainings; conducts CAL OSHA trainings as needed; ensures the successful implementation of SB198 and the employee safety and loss prevention programs; ensures proactive safety practices are implemented.
- Serves as the SCCOE's Affirmative Action Officer; communicates with other administrators, personnel, and outside organizations to coordinate activities and programs, resolve issues and conflicts, and exchange information.
- Monitors changes in laws, regulations, and best practices related to areas of responsibility, including education, compliance, and risk management; recommends and implements process improvements to enhance the effectiveness of compliance and investigative functions.
- Directs and evaluates the performance of assigned staff; interviews and selects employees and recommends transfers, reassignment, termination, and disciplinary actions.

OTHER DUTIES:

- Performs other duties as assigned.

KNOWLEDGE, ABILITIES AND COMPETENCIES:**KNOWLEDGE OF:**

- Principles and practices of conducting investigations, including procedural requirements.
- Laws, regulations, and policies relating to employment, employer liability, public liability, compliance, and organizational risk management, including but not limited to federal, state, and local laws, including ADA, EEOC, Title VII, Title IX, Rehabilitation Act, Fair Labor Standards Act, HB486, child abuse prevention laws, Cal/OSHA, EPA, and SB198.
- Planning, organizing and directing risk management programs, including accident prevention, worker's compensation, safety and loss control, insurance regulations, claims processing and related programs.
- Comprehensive risk management programs.
- Risk management and loss control principles and techniques.
- Accurate record-keeping and reporting techniques to support compliance, accountability, and leadership decision-making.
- Principles, practices and procedures of exposure identification, ergonomics for various work settings, claims management and risk financing.
- Title IX and its applicability to sex discrimination and sexual harassment in a K-12 environment.
- Rules and regulations enforced by Cal/OSHA - Division of Occupational Safety and Health.
- Policies and regulations, state and federal laws, rules, and policies and procedures concerning the

rights and privileges of employees including, but not limited to employment, tenure, performance evaluation, due process, and teacher certification.

- Negotiated bargaining unit agreements, employee handbooks, Workplace Violence Prevention Plan, and other such documents.
- Oral and written communication skills.
- Interpersonal skills using tact, patience, and courtesy.
- Principles and practices of administration, supervision, and training.
- Legal, regulatory, and ethical standards.
- Research and analysis techniques.

ABILITY TO:

- Understand and oversee informal and formal complaints, and Title IX grievance process.
- Design and oversee thorough investigation plans.
- Conduct confidential investigations and provide written reports on findings.
- Conduct trauma-informed interviews and guide investigators in best practices.
- Oversee/participate in the preparation of comprehensive and accurate investigation reports.
- Create and deliver trainings that promote staff knowledge, compliance, and consistent application of organizational policies and best practices.
- Supervise and evaluate the performance of assigned personnel.
- Interpret, apply, and explain rules, regulations, policies, and procedures.
- Operate a computer and assigned office equipment.
- Analyze situations accurately and adopt an effective course of action.
- Meet schedules and timelines.
- Work independently with little direction.
- Plan and organize work.
- Prepare comprehensive narrative and statistical reports.
- Direct the maintenance of a variety of reports, records and files related to assigned activities.

LEADERSHIP TEAM COMPETENCIES:

- Develops and fosters effective individuals and teams.
- Operationalizes the organizational vision, mission, goals, shared values, and guiding principles.
- Demonstrates emotional intelligence.
- Models inclusive, effective, and authentic communication.
- Applies knowledge of the intersectionality of race, equity, and inclusion.
- Builds and sustains positive, trusting relationships.
- Conducts SCCOE operations with the highest moral, legal, and ethical principles.

EDUCATION AND EXPERIENCE:

Any combination equivalent to:

- Master's degree in human resources, public administration, law or related field, *and*
- Seven (7) years responsible experience conducting or overseeing investigations involving discrimination, harassment, retaliation, or other forms of misconduct; developing and

implementing compliance policies; providing training; and collaborating with executive leadership on organizational risk management, *or*

- Five (5) years as a practicing attorney with a strong emphasis in labor and employment law.

LICENSES AND OTHER REQUIREMENTS:

- Incumbents in this class must possess an Associate in Risk Management (ARM) certification or obtain an ARM certification within eighteen (18) months of employment.
- Valid California driver's license.
- Advanced degree or Juris Doctor preferred.

WORKING CONDITIONS:**ENVIRONMENT:**

- Office environment.
- Driving a vehicle to conduct work.

PHYSICAL DEMANDS:

- Hearing and speaking to exchange information and make presentations.
- Dexterity of hands and fingers to operate a computer keyboard.
- Seeing to read a variety of materials

HAZARDS:

- Contact with dissatisfied or abusive individuals.
- Slipping, tripping, falling.
- Ergonomic injuries, repetitive motion injuries, eye strain.
- Indoor air pollution.

HAZARDS:**Disaster Service Worker**

It is hereby declared that the protection of the health and safety and preservation of the lives and property of the people of the state from the effects of natural, manmade, or war-caused emergencies which result in conditions of disaster or in extreme peril to life, property, and resources is of paramount state importance requiring the responsible efforts of public and private agencies and individual citizens. In furtherance of the exercise of the police power of the state in protection of its citizens and resources, all public employees are hereby declared to be disaster service workers subject to such disaster service activities as may be assigned to them by their superiors or by law. *Ca. Gov. Code § 3100*

Approved by Personnel Commission: November 12, 2025



Marisa Perry
Director III – HR / Classified Personnel Services

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