



## COMPLIANCE SPECIALIST 1

5246

### GENERAL DESCRIPTION OF CLASS

The COMPLIANCE SPECIALIST 1 applies laws, rules, regulations or other mandatory guidelines to decide state program compliance. Employees find facts through interview, inspection of facilities or other methods to report non-compliance with State programs. The Compliance Specialist 1 also compiles information for and testifies at case hearings.

### DISTINGUISHING FEATURES

This is the first of a three-level classification series. Employees work independently to complete routine tasks that identify violated rules, laws or policies. Violations are easy to detect and readily available guidelines direct the work. Changing work conditions require judgment to select which procedures to follow.

The availability of clearly defined guidelines, the regularity of similar compliance and eligibility situations and the application of repetitive regulations differentiate this class from the higher levels.

The Investigator class series differs from the Compliance Specialist series because of the emphasis on investigating fraudulent or other illicit activities using investigative techniques.

### DUTIES AND RESPONSIBILITIES

The duties listed are characteristic of the type and level of work associated with this class. Individual positions may do all or some combination of the duties listed as well as other related duties.

#### 1. Compliance Review

Review records and compare to guidelines to decide compliance with regulations or guidelines. Inspect facilities or survey information to investigate complaints. Evaluate claims for administrative compliance. Recommend orders of suspension or monetary penalty in situations of non-compliance. Review reports and files to determine compliance. Examine business records to decide compliance with state programs or funding. Apply guidelines and procedures to compliance situations. Identify regulations or violated policies to decide a course of action. Investigate complaints through interview and observations to gather facts. Organize facts gathered at interviews and summarize by compiling into written documents.

#### 2. Technical Assistance

Explain policy or procedure by responding to inquiries from regulated persons, the public, or governmental agencies. Maintain systems for tracking progress and completion of compliance training efforts. Monitor program processes, procedures and results for effectiveness in meeting customer needs. Compile information for support in administrative hearing. When assigned or subpoenaed, testify at hearings or in court.

**RELATIONSHIP WITH OTHERS**

The Compliance Specialist 1 has regular contact with other staff members, the public, regulated business representatives, attorneys, and regulated citizens by telephone, letter, and in person to obtain facts, answer questions, explain processes and compliance requirements, and verify information.

**SUPERVISION RECEIVED**

The Compliance Specialist 1 works under general supervision. A unit supervisor, manager or lead worker regularly reviews findings of facts and work products to ensure quality decisions, completeness, clarity and timeliness. Employees have clear but varied procedures with specific precedents. Changing work conditions require judgment to select which among many procedures to follow.

**KNOWLEDGE AND SKILLS (KS)****Basic knowledge of:**

Principles and methods of data collection, analysis and evaluation.
Principles of governmental regulatory processes.
Common business record keeping methods.
Automated data systems and associated software such as spreadsheets, word processing, or tracking databases.

**Skill to:**

Establish and maintain effective working relationships with people from varying backgrounds.
Evaluate information to determine cause of error.
Prepare clear and concise written reports based on the needs of the audience.
Identify the nature of problems.
Easily establish a rapport with people to interview and gather information.
Find and identify essential information from written material.
Make judgments about or assess the value, importance or quality of situations.
Evaluate information against a set of standards and verify that it is correct.
Talk to others to effectively convey information.
Manage multiple tasks over extended periods.
Apply technical data, regulations, and policy statements to varying situations.

**NOTE:** The KNOWLEDGE and SKILLS are required for initial consideration. Some duties performed by positions in this class may require different KS's. No attempt is made to describe every KS required for **all** positions in this class. Additional KS requirements will be explained on the recruiting announcement.

Adopted 1/02

Revised

STATE OF OREGON  
 Dept. of Administrative Services  
 Human Resource Services Division