COMPLIANCE SPECIALIST 2

5247

GENERAL DESCRIPTION OF CLASS

The COMPLIANCE SPECIALIST 2 analyzes suspected non-compliant situations, interprets regulations, laws and guidelines to effect compliance with State programs. Employees impose sanctions and provide technical assistance to regulated entities on how to gain compliance. Employees develop training programs to educate others in the areas of regulations, mandates and methods in gaining compliance. They also refer cases for administrative or legal proceedings, testify at case hearings and resolve disputes.

DISTINGUISHING FEATURES

This is the second of a three-level series. At this level, employees work independently to interpret and apply complex regulations and impose sanctions. Established policies and regulations requiring interpretation guide the work. Interpretation may change because of varying situations. Employees may design new procedures to obtain required results. Work requires the discretion to decide the applicability of code requirements.

The Compliance Specialist 2 is distinguished from the next higher level by the absence of responsibility for program coordination or policy development. The Compliance Specialist 2 is distinguished from the lower level by the variability of compliance situations and the lack of clear specific guidelines.

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

Evaluate documents, procedures, systems or conditions to decide compliance with State and Federal program requirements. Analyze data and apply governing statues, rules, policies and procedures to resolve compliance disputes. Facilitate dispute resolution process. Investigate complaints by researching information and analyzing conditions to decide if violations occurred. Compile and prepare investigative reports describing facts and circumstances of investigation. Conduct on-site reviews to find facts and decide compliance. Review data to identify trends, problems and areas of noncompliance. Review reports to verify that field staff have sufficient basis for compliance actions.

2. Regulatory Decision

Identify and interpret laws, rules or policies violated to decide incidents of non-compliance. Apply laws, rules, agency policies or precedent rulings to help others solve compliance issues. Make decisions to grant licenses or permits. Impose non-compliance citations or sanctions. Recommend procedural changes to improve program results. Refer cases for administrative or legal proceedings and testify at case hearings. Consult and advise governmental officials or staff on regulatory issues. Prepare license refusal, restriction and caution letters. Identify problem areas where training is needed to assist in compliance.

3. Technical Assistance

Identify training needs to gain compliance or improve program operations. Apply ORS/ OAR laws and rules to compliance situations. Design and give training to employees and other regulated individuals or organizations that explains regulations or gives methods for gaining compliance. Develop compliance intervention strategies. Instruct regulated entities in dispute resolution processes. Act as mediator in resolution of compliance issues. Collaborate with local officials to solve potential conflicts or misinterpretation of regulations. Review and edit reports from regulatory field staff to verify the most appropriate decision, clarify facts or better support administrative cases. Develop program materials to explain regulations or program guidelines. Develop applications for licenses or program assistance.

RELATIONSHIPS WITH OTHERS

The Compliance Specialist 2 has regular contact by telephone, in person, letters and electronic mail with staff members, clients, and the public, to gather and share information, clarify policy, and determine compliance. They also have regular contact with regulated individuals to mediate disputes and resolve compliance problems.

SUPERVISION RECEIVED

The Compliance Specialist 2 works independently under the general direction of unit supervisor, or manager. The supervisor typically reviews outcomes and gives advice or direction as needed. At this level, employees are primarily engaged in the interpretation and application of established policies and regulations. Interpretation may change because of varying situations.

GENERAL INFORMATION

Some positions deal with angry, hostile or difficult individuals to bring about compliance with regulations.

KNOWLEDGE AND SKILLS (KS)

General knowledge of:

Investigative and fact finding principles and practices.
Inspection and measurement techniques.
Principles and methods of automated data collection, analysis and evaluation.
Enforcement principles and practices typical to complex regulatory organizations.
Common business record keeping methods.

Basic knowledge of:

Procedures followed in administrative hearings.

Skill to:

Use computer software to compile, analyze and report information.
Evaluate information to determine cause of error.
Identify the nature of problems.
Establish and maintain effective working relationships with people from varying backgrounds.
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.
Interpret laws, rules and regulations and apply them to varying compliance situations.
Prepare clear and concise written reports .
Explain in writing and verbally, complex technical and regulatory information in an understandable language to people of diverse education, language and cultural backgrounds.
Easily establish rapport with others to interview them and obtain information and facts.
Compile and summarize findings and recommend reasonable actions based on the findings.
Analyze conflicting allegations or data and reach logical conclusions.
Gather data, analyze and review information individually and in teams.
Effectively handle difficult or angry people.

Some positions may require:

General knowledge of a specific regulatory industry or program.

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