



COMPLIANCE SPECIALIST 3

5248

GENERAL DESCRIPTION OF CLASS

The COMPLIANCE SPECIALIST 3 brings about compliance of individuals and organizations through enforcement and technical assistance. Employees develop compliance standards and procedures and design-training courses that deal with complex regulatory situations in which compliance is not clearly defined. Employees regularly interact with other government jurisdictions, the media, legislative staff and the public. Employees also provide advice and direction to staff on compliance methods to improve program efficiency and verify consistency. Some positions conduct preliminary hearings or settle issues of non-compliance through bringing about mutual agreements. Some incumbents may also present agency cases in administrative hearings or coordinate the work of regulatory staff.

DISTINGUISHING FEATURES

This is the third of a three-level series. The class is the senior professional level. Employees solve the most difficult compliance issues having broad potential impact. Compliance situations vary greatly and employees lack readily available guidelines or precedents. Work solutions require in-depth evaluation. At this level employees have the discretion to decide levels of compliance sanctions and settle instances of non-compliance not clearly defined in policy or regulation.

The difficulties of regulatory issues, involvement in compliance program coordination or policy development distinguish this class from the Compliance Specialist 1 and 2.

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. Technical Consultation

Analyze, interpret and apply laws, rules or agency policies to help others with compliance issues. Instruct others on handling of regulatory complaints. Give technical advice to managers, staff or outside organizations on program regulations or guidelines. Make presentations orally and in writing to explain policy and procedure. Collaborate with local officials to solve potential conflicts or misinterpretation of regulations. Consult with regulated entities to identify problem areas and improve conditions. Review, coordinate, and monitor work of regulatory staff in the delivery of license and compliance services. Assist management in correcting regulatory staff deficiencies in work performance.

Identify training-related compliance problems and develop training goals to improve compliance with regulations. Formulate and update training policies or procedures. Design and provide training for staff members and regulated or client groups or individuals. Identify training resources for customers. Evaluate training courses to ensure content conforms to regulations and policies. Identify and arrange for training vendors to improve program conditions. Develop goals for training programs provided to staff members, clients and regulatory agencies.

2. Enforcement

Identify and interpret laws, rules or policies violated to decide course of action. Decide type and levels of imposed sanctions. Conduct investigations in response to complaints about services, equipment or operations. Investigate regulatory situations to decide compliance with program regulations. Develop corrective action plans based on finding of audits or site visits. Develop procedural changes to facilitate compliance or improve conditions. Work with regulated entities to solve problems and mediate disputes in issues of compliance.

3. Program Coordination

Develop standards and procedures that guide enforcement activities. Develop program goals, objectives and action plans. Develop program compliance criteria. Identify regulatory or legislative changes needed for program success. Evaluate program operations to identify areas of weakness or non-compliance. Review program records for compliance to policy, rules, or other requirements. Recommend adjustments needed to achieve program effectiveness. Research laws, case precedents, and legislative intent to recommend policy direction and guide others to compliance.

4. Case Preparation

Plan case presentations. Prepare compliance staff and witnesses to testify. Examine or cross-examine witnesses in contested hearings. Prepare written responses and opening and closing statements for presentation to Administrative Law judge. Represent regulatory staff in hearings and other legal proceedings. Present facts and arguments in hearings. Represent agency position in contested cases. Prepare reports with recommendations based on program regulation.

RELATIONSHIPS WITH OTHERS

The Compliance Specialist 3 has regular contact by telephone, in person, letters and electronic mail with staff members, state personnel, the public, legislative staff, attorneys and news media to plan projects, clarify policy, present cases at hearings, enforce regulations, bring about agreements, collect data, and solve compliance problems.

SUPERVISION RECEIVED

The Compliance Specialist 3 works with minimum supervision, conferring with a supervisor on unusual matters. Completed work is accepted as technically authoritative. In some instances work is reviewed to ensure organizational guidelines are met. Independent judgment is exercised that is consistent with the missions, goals and objectives of the program or agency. Employees apply broad guidelines to their work and develop new techniques or solutions to problems of compliance.

GENERAL INFORMATION

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

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

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

General knowledge of:

Methods of organizational, program, and statistical analysis.
ORS/ OAR laws and rules specific to typical regulatory programs.
Administrative law and government regulation processes.
Procedures followed in administrative hearings.
Communication techniques to persuade individuals to a course of action.
Training techniques and principles.

Skill to:

Explain in writing and verbally, complex technical and legal material in understandable language to people of diverse education, language and cultural backgrounds.
Analyze complex issues and competing interests and negotiate resolution or develop a plan of action based on the analysis.
Establish and maintain effective working relationships with people from varying backgrounds.
Manage varying deadlines and multiple projects.
Analyze conflicting allegations or data and reach logical conclusions.
Research, analyze and review projects individually and in teams.
Effectively handle difficult or angry people.
Easily establish rapport with others to interview them and obtain information and facts.
Use computer software to compile, analyze and report information.
Evaluate information to determine cause of error.
Identify the nature of problems.
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 and complex compliance situations.
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.

Some positions may require:

Extensive 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