



**STATE OF OREGON
POSITION DESCRIPTION**

Position Revised Date:
6/17/2025

This position is:

- ☒ Classified
☐ Unclassified
☐ Executive Service
☐ Mgmt Svc – Supervisory
☐ Mgmt Svc – Managerial
☐ Mgmt Svc - Confidential

Agency: Department of Consumer & Business Services

Facility: Labor & Industries Building

☐ New ☒ Revised

SECTION 1. POSITION INFORMATION

a. Classification Title:	<u>Compliance Specialist 2</u>	b. Classification No:	<u>C5247</u>
c. Effective Date:	<u>September 1, 2026</u>	d. Position No:	<u>3000.184</u>
e. Working Title:	<u>Field Investigator</u>	f. Agency No:	<u>44000</u>
g. Section Title:	<u>Performance Section (Employer Compliance Unit)</u>	h. Budget Auth No:	<u>000225020</u>
i. Employee Name:	<u></u>	j. Repr. Code:	<u>OAS</u>
k. Work Location (City – County):	<u>Salem – Marion</u>		
l. Supervisor Name:	<u>Cory Van Houten</u>		
m. Position:	☒ Permanent ☐ Seasonal ☐ Limited Duration ☐ Academic Year ☒ Full-Time ☐ Part-Time ☐ Intermittent ☐ Job Share		
n. FLSA:	☐ Exempt ☒ Non-Exempt	If Exempt: ☐ Executive ☐ Administrative ☐ Professional ☐ Computer	o. Eligible for Overtime: ☒ Yes ☐ No

SECTION 2. PROGRAM AND POSITION INFORMATION

- a. Describe the program in which this position exists. Include program purpose, who's affected, size, and scope. Include relationship to agency mission.**

The Department of Consumer and Business Services (DCBS) is Oregon's largest business regulatory and consumer protection agency. The department administers state laws and rules to protect consumers and workers in the areas of workers' compensation, occupational safety and health, financial services, insurance and building codes.

DCBS consists of the Workers' Compensation Division; Oregon Occupational Safety and Health Division; Division of Financial Regulation; Building Codes Division; Small Business Ombudsman; and Ombudsman for Oregon Workers. The department provides shared services to all divisions through the Director's Office and Central Services Division. The department also provides shared services to the Workers' Compensation Board. DCBS employs 950 employees and has a biennial operating budget of approximately \$685 million.

The Workers' Compensation Division administers, regulates, and enforces the law to protect benefits related to workers' on-the-job injuries and illnesses, while providing a positive business climate for Oregon businesses. Workers, employers, insurance companies, medical and vocational providers, attorneys, service companies and others participate in the workers' compensation system. The division has 175 positions and a biennial operations budget of approximately \$60 million. The division is led by the Administrator's Office and is organized into four sections: Modernization Operations, Performance, and Resolution.

WCD's mission: "We ensure an equitable workers' compensation system for all."

The **Performance Section** has responsibility for enforcing the workers' compensation laws relating to employer coverage, claims processing, worker leasing, and ensuring timely and appropriate benefits are provided to injured workers. Section staff certify self-insured employers and license worker leasing companies. They investigate subject Oregon employers for compliance with coverage requirements. They ensure the accuracy of disbursement and receipt of monies from and to the various reserves, reimbursing over \$50 million annually to insurers from those funds. Through information provision, education and outreach, audits, investigations, contract review, sanctions, and penalties, staff ensure proper claims management by all Oregon insurers and self-insured employers, and their service companies. The Performance Section consists of three units: Employer Compliance, Audit, and Self-Insurance, Registration, and Reimbursements.

The **Employer Compliance Unit (ECU)** is responsible for ensuring that subject Oregon employers provide workers' compensation insurance coverage for their employees. The unit focuses on assuring employer compliance with workers' compensation coverage requirements by educating, monitoring, investigating, and assessing civil penalties against noncomplying employers. For subject Oregon employers that don't have coverage and have had an injured worker file a claim, the unit is responsible for referring the claim to an assigned claims agent to ensure timely benefits to the injured worker. Through its Electronic Data Interchange – Proof of Coverage (EDI-POC) team, the unit also helps ensure the integrity of electronic proof of coverage filings submitted by insurers, partially through the assessment of civil penalties for non and late filings.

- b. **Describe the primary purpose of this position, and how it functions within this program. Complete this statement. The primary purpose of this position is to:**

The primary purpose of this position is to conduct investigations to determine employer compliance with workers' compensation coverage requirements and the subjectivity of injured workers. Through the gathering and analysis of information and the interpretation of workers' compensation laws, rules, and policies, the position issues proposed orders and imposes sanctions for noncomplying employers. Ultimately, the work carried out by the position ensures claims from injured workers employed by noncomplying employers are processed the same as they would have been had the employers been complying. The position provides technical assistance to regulated employers to educate and increase awareness of the need for workers' compensation coverage.

SECTION 3. DESCRIPTION OF DUTIES

List the major duties of the position. State the percentage of time for each duty. Mark "N" for new duties, "R" for revised duties or "NC" for no change in duties. Indicate whether the duty is an "Essential" (E) or "Non-Essential" (NE) function.

% of Time	N/R/NC	E/NE	DUTIES
Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".			
Ongoing			<i>Perform position duties in a manner which promotes customer service and harmonious working relationships, including treating all persons courteously and respectfully. Engage in effective team participation through willingness to assist and support co-workers, supervisors, and other work-related associations. Develop good working relationships with division and agency staff and supervisors through active participation in accomplishing group projects and in identifying and resolving problems in a constructive manner. Demonstrate openness of constructive feedback and suggestions, in an effort to strengthen work performance. Contribute to a positive, respectful and productive work atmosphere.</i> <i>Foster and promote the importance and value of a diverse, discrimination and harassment free workplace. Respect diversity of opinions, ideas, and cultural differences. Support outreach and diversity related efforts in order to diversify the workforce.</i> <i>Regular attendance is an essential function required to meet the demands of this job and to provide necessary services.</i>
55%	R	E	Field Investigations Conduct timely investigations with varying levels of complexity to determine employer compliance with workers' compensation coverage and injury claims laws, rules, and policies, related to coverage requirements, claims suppression /

			inducement not to file claims, continuous trauma injuries / joinders, fatalities, worker injury and subjectivity, and multi-agency sweeps. Deep understanding and knowledge of the possible investigatory outcomes, based on subject responses and information gathered, are required during investigations. Interpret and apply statutes, rules, and case law, based on responses to the questioning and/or information gathered in the field, to determine potential case complexity, develop additional questions, and needed information used to develop a final investigatory analysis and conclusion. Handle cases from start-to-finish, including determining method of investigation, case conclusions, and recommended enforcement action, per statutory and regulatory guidelines. Develop and implement investigative plans of action, determine appropriate parties of interest, documentation to be obtained, and other plans of action. Schedule and perform on-site visits to interview employers, executives, managers, and staff; review files to gather and preserve information according to rules of evidence related to subjectivity and proof of workers' compensation coverage. Investigators make determinations in non-claim cases whether to penalize immediately or allow the employer additional time to resolve non-compliance issues. Plan travel itineraries, communicate plan to staff, and travel extensively within urban and rural settings requiring navigation of road systems and inclement weather conditions in a manner that prioritizes the investigator's safety. Review business and financial records; request additional information to help determine whether employers are in compliance with workers' compensation requirements. Exercise effective communication techniques to gather sufficient information and maintain as positive relationship as possible with employers, workers, and other interested parties such as physicians, attorneys, witnesses, accountants, insurance agents, other governmental agencies, etc. Investigations may place investigators in awkward, as well as unforeseen and/or potentially dangerous situations requiring the use and exercise of diffusion and de-escalation techniques during the course of information gathering to promote proactive interactions. May participate in Interagency Compliance Network "sweeps" with other state agencies, such as the Bureau of Labor & Industries, Oregon OSHA, Construction Contractors Board, Oregon Department of Revenue, Oregon Employment Department, Oregon Department of Justice, etc. Collaborate on planning and execution of several sweeps per year. Maintain knowledge of other agency laws sufficient to recognize when possible non-workers' compensation violations occur and contact appropriate agency(ies) for further investigation. Research state and federal databases, case precedents, case law, and files to determine coverage history, historical practices, and subjectivity and compliance of employers related to coverage requirements. Review information to find past violations, sanctions, and penalties. Determine relevancy of historical information to current investigative case. Ensure subject employers have workers' compensation insurance in order for workers who are injured to receive needed and timely health benefits and reduce to costs of claims paid by public funds. Ensure employers have assigned appropriate worker classification to all employees. Collaborate with the senior field investigator by conducting investigations of businesses for repeated violations of workers' compensation coverage. Investigate non-claim cases which are primarily the result of a notice of cancellation of coverage received from an insurance provider, and claim cases where there is no active coverage on file. Referrals and external complaints also initiate investigations.
30%	R	E	Report Writing, Proposed Orders, and Sanctions Review and analyze information gathered during investigations and formulate a subjectivity to law report of the findings and conclusions used as the basis for any further enforcement action, if necessary. Proposed orders are issued based off investigatory conclusions, such as injunctions or contempt actions. Work closely

			with non-state agencies, such as police departments, county and city agencies, and federal agencies to confirm or deny statements obtained as corroborating evidence. Research and determine relevant laws, rules, and policies to make determinations of subject, non-subject, or unable to determine status of employers' compliance with coverage requirements, identifying any law violations. Evaluate and determine viability and credibility of information received through research and extended interviews with other entities. Evaluate violations to determine appropriate penalties and/or sanctions to be levied on noncomplying employers. Develop analyses and formulate findings and conclusions of investigative efforts. Write comprehensive reports outlining the findings and conclusions in a clear and concise manner. Review penalty assessments and proposed orders written by coverage investigators to determine consistency and accuracy with findings and conclusion. Write subpoenas, and other correspondence with appropriate and sufficient information in a clear and concise manner. For cases where the facts don't necessarily align with case precedents or past practices, conduct extensive legal research and consult with the senior field investigator, unit manager, the WCD policy team, WCD Contested Cases Unit, and Oregon Department of Justice to make a decision on a case finding. Negotiate and resolve complex compliance problems with assistance from internal team members. Develop employer plans of correction and provide guidance, when needed. May be called upon to serve proposed orders on subject employers. Monitor completed investigations and reports where penalties are assessed to ensure proper and timely administrative outcomes are accomplished. Conduct peer review of team member claim and non-claim reports written by coverage and field investigators. Participate in peer training and information sharing. Share case information to promote cross-training and peer support on complex case investigations and report writing. Work as a team to maintain and share comprehensive working knowledge of workers' compensation laws, rules, and policies.
10%	R	E	Outreach and Education Efforts Conduct training and make both prepared and impromptu presentations for large groups, such as conferences, industry specific stakeholder groups, executives, individual business owners, or general training sessions, regarding industry specific application of workers' compensation laws and rules. Regularly explain to stakeholders what legal requirements employers are subject to and explain alternatives that would allow employers to still achieve compliance with workers' compensation requirements. Determine and recommend possible solutions to employers to achieve compliance. Negotiate employer resolution to compliance violations. In collaboration with the senior field investigator or seasoned investigative staff, develop informational material and presentations for delivery to live audiences, distribution through mail system, or digital content to be available on state websites. Venues may also include appearance on television stations or other media outlets, as appropriately assigned. May participate and collaboratively represent the agency and WCD in Interagency Compliance Network (ICN) through sharing information about noncomplying entities, offering assistance with audits, and discussing newly identified methods used by noncomplying entities to avoid legal responsibilities. This may include reporting statistical compliance information to the ICN to help chart progress of the collaborative work performed with other agencies.
5%	R	E	Other duties as assigned. Represent the agency at administrative hearings and when subpoenaed to court cases. Gather and review relevant information and prepare materials for presentation in court settings. May testify as to legitimacy of information being provided. Participate and collaborate with management and senior field investigator in the development or update of policies and procedures to create better efficiency and consistency within the department by sharing investigative experiences and trends.

			Participate in the evaluation of proposed legislation, rulemaking, and policies providing feedback regarding potential impact on stakeholders.
100%			

SECTION 4. WORKING CONDITIONS

Describe any on-going working conditions. Include any physical, sensory, and environmental demands. State the frequency of exposure to these conditions.

This position requires extensive travel through urban and rural environments in heavy traffic, optimal and inclement weather conditions, and may require overnight or interstate travel. Employees may be subject to various workplace hazards, some of which may necessitate the use of personal protective equipment, remote and very rural locations with little to no cellular services limiting contact with the manager or other staff, such as construction, agricultural, or residential site. Employees may be subject to argumentative or hostile situations and must exercise a good sense regarding the safety of a situation or make on-the-spot decisions to proceed or discontinue encounters. May require working with local law enforcement teams to assist.

Additional work is performed either in an office environment or remotely from a home office. Work schedule is a flexible 40-hours per week, and may require approved overtime.

This position is eligible for remote work full-time, once the incumbent has gained the proficiency to perform work independently. The incumbent may occasionally be asked to work from the office on an as-needed basis. Currently, this position is home based.

SECTION 5. GUIDELINES

a. List any established guidelines used in this position, such as state or federal laws or regulations, policies, manuals, or desk procedures.

ORS Chapter 656, Oregon Workers' Compensation
 OAR 436-050 and 436-080, Administrative Rules
 ORS 701, Construction Contractors'
 ORS 671, Landscape Contractors'
 ORS Chapter 657-670, Employment – case referral and employee misclassification
 ORS Chapter, Wage and Hour
 ORS chapter 654, Occupational Safety and Health
 Laws of other agencies (Revenue, Lottery, OLCC, etc.), territories, or nations for case referral
 Rules of Evidence
 Public Record law
 Written unit policies and procedures, including memoranda and staff meeting notes
 Division publications
 Case Law

b. How are these guidelines used?

The Oregon Workers' Compensation Law and Administrative Rules provide the authority for the Employer Compliance unit's regulatory function. Case law provides proper interpretation of statutes and rules. Laws of other agencies and jurisdictions are used to determine applicability of associated issues within the borders of Oregon. The Employer Compliance Reference Manual, internal policies and procedures, memos, and staff meeting notes provide the method by which functions are performed.

SECTION 6. WORK CONTACTS

With whom, outside of co-workers in this work unit, must the employee in this position regularly come in contact?

Who Contacted	How	Purpose	How Often?
Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".			
Employers and employees subject to workers' compensation laws, including corporate executives, risk managers, sole proprietors, farmers, workers, attorneys as representative of preceding, etc.	Telephone, in person, in writing	Performance of investigations, verification of information	Daily
OR-OSHA Investigators	Telephone, in person, in writing	Collaborate on investigations	Frequently
Ombudsman for Injured Workers	Telephone, in person, in writing	Collaborate on investigations, referral for injured worker	Occasionally
Medical providers	Telephone, in person, in writing	Verification of Information	Occasionally
Other federal and state agencies (CCB, BOLI, OR Landscape Contractors Board, OED, ODOJ, Revenue, DMV, ODOT, Federal Motor Carrier Safety Association, OLCC, Secretary of State, OR DHS, law enforcement, etc.)	Telephone, in person, in writing	Performance of investigations (including "sweeps"), verification of information, referral of possible violations	Occasionally

SECTION 7. POSITION RELATED DECISION MAKING

Describe the typical decisions of this position. Explain the direct effect of these decisions.

This position determines the subjectivity of employers and workers to Oregon laws requiring workers' compensation insurance coverage, after completion of comprehensive investigations. Decides whether or not to issue proposed orders of non-compliance, assessments of civil penalties, and non-subjectivity determinations to employers. Determines if claims should be referred for processing and who the responsible party is. Determines if additional information should be referred to other agencies for other probable violations outside of workers' compensation.

SECTION 8. REVIEW OF WORK

Who reviews the work of the position?

Classification Title	Position Number	How	How Often	Purpose of Review
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Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

Compliance & Regulatory Manager 1	3000.406	Review reports for accuracy, completeness and timeliness. Periodic review for special projects or performance monitoring, as needed. Conducts annual and period performance evaluations.		
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SECTION 9. OVERSIGHT FUNCTIONS

THIS SECTION IS FOR SUPERVISORY POSITIONS ONLY

- a. How many employees are directly supervised by this position? 0
How many employees are supervised through a subordinate supervisor? 0

- b. Which of the following activities does this position do?

- | | |
|--|---|
| ☐ Plan work | ☐ Coordinates schedules |
| ☐ Assigns work | ☐ Hires and discharges |
| ☐ Approves work | ☐ Recommends hiring |
| ☐ Responds to grievances | ☐ Gives input for performance evaluations |
| ☐ Disciplines and rewards | ☐ Prepares & signs performance evaluations |

SECTION 10. ADDITIONAL POSITION-RELATED INFORMATION

ADDITIONAL REQUIREMENTS: List any knowledge and skills needed at time of hire that are not already required in the classification specification:

Special Requirements:

Must possess a valid and unencumbered driver's license.

Position is subject to a criminal background check.

BUDGET AUTHORITY: If this position has authority to commit agency operating money, indicate the following:

Operating Area	Biennial Amount (\$00000.00)	Fund Type
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Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

SECTION 11. ORGANIZATIONAL CHART

Attach a current organizational chart. Be sure the following information is shown on the chart for each position: classification title, classification number, salary range, employee name and position number.

SECTION 12. SIGNATURES

Employee Signature

Date

Supervisor Signature

Date

Appointing Authority Signature

Date