

## COMPLIANCE SPECIALISTS\*

### Job Family Definition

Compliance classifications are members of the Business and Financial Operations job family. Compliance workers\* examine, evaluate, and investigate conformity with laws and regulations governing licenses and permits, and other compliance and enforcement inspection activities. The Compliance grouping includes the broad occupational classes of Compliance Specialist 1 - 3, and other more detailed classes specific to a regulatory program or regulating agency.

### The following classes are included in the Compliance Classification grouping:

- Compliance Specialist 1-3 (Class Codes 5246,5247, and 5248)\*
- Civil Rights Field Representative 1 – 2 (Class Codes 5240,5241)
- Civil Rights Intake Officer (Class Code 5243)
- Wage and Hour Compliance Specialist (Class Code 5245)
- Liquor License Control Inspector (Class Code 5722)
- Liquor Regulatory Specialist (Class Code 5723)
- Insurance Compliance Officer (Class Code 5741)
- Vehicle Emission Technician 1 – 2 (Class Codes 3807, 3808)

### Differences from Other Similar Kinds of Work (To help distinguish compliance-oriented work from other similar kinds of work)

In state government, compliance work covers a broad spectrum. There are many class series that either wholly or in part describe work related to a program of compliance and enforcement. These occupational series require a specialized educational or technical background to do the work. This work is grouped under the job family related to the educational and experience requirements; for example, we group Grain Inspectors under the Farming and Agriculture job family. Environmental Compliance Inspectors are classified in the Natural Resource Specialist series due to the environmental background needed to decide compliance.

Compliance workers do inspections primarily concerned with legal and regulatory compliance determinations. Compliance inspections differ from those aimed at material or process acceptability. These are **quality inspections** and focus on whether or not a product or process meets quality standards established by technical specifications or codes. A **compliance inspection** aims at assessing whether or not there is adherence to the environmental, health, safety or other provisions of a mandated program. Inspections or surveys for compliance also differ from program evaluation studies.

**Program evaluation** (performance) studies focus on the product or process. For example, such a study might seek to learn if a program succeeded in its goals whereas a compliance survey would look at the program's administration to judge whether it was being run in accordance with legislative or other mandatory guidelines.

**Management analysis** studies evaluate and improve the efficiency and effectiveness of an organization while compliance inspections or surveys primarily assess an organization's adherence to guidelines intended to foster that efficiency and effectiveness.

**Investigators** differ from compliance workers because of the emphasis on investigating fraudulent or other illicit activities using investigative techniques. Investigators primarily do investigation to gather evidence for administrative or judicial hearings. Although Compliance Specialists will do similar investigative work such as analyzing information to identify non-compliant activity, this is not the primary purpose for their position. Investigators need in-depth knowledge of investigative techniques and evidence preservation not required of compliance

specialists. Compliance Specialists and Investigators often work together to effect compliance to mandated regulatory programs.

**Auditors** examine and analyze records to decide financial status; recommend changes in operations; identify deficient controls or non-compliance with laws, regulations and management policies. Even though auditors do similar work by analyzing records to decide compliance they use a specific background, e.g. auditing standards, accounting and financial principles to do their work. These background skills are not required of compliance workers.

**Classification Concept for Compliance Specialist 1-3, class codes 5426, 5427 and 5428\*\*:**

The work of Compliance Specialist 1-3 is to effect compliance of individuals or organizations with state and federal laws, rules and regulations or other mandatory guidelines. Compliance Specialists do inspection, investigative, analytical or advisory work to assure understanding of and compliance with such mandates. Inspection, investigation and analysis of reports and documents assess compliance. Compliance may be obtained by persuasion, negotiation and technical assistance or by issuing citations, filing complaints or referring cases for administrative or legal proceedings.

The Compliance Specialist class series is written broadly and intends to encompass many different types of compliance work. While subject matter knowledge differs among jobs from one compliance or enforcement program to another, there are characteristics common to them all. Compliance positions include both line and staff work such as:

- Onsite inspections or surveys to assess compliance;
- Investigations to substantiate alleged or suspected instance or patterns of noncompliance;
- Negotiations with persons or organizations whose activities have been found to be out of compliance;
- Analysis of reports required of individuals or organizations engaged in regulated activities to assess their compliance with mandatory guidelines.

Many positions also involve work in explaining and promoting the regulatory or compliance program to the public and those whose activities are subject to it.

**Factors affecting the distinctions between levels include:**

- Guidelines available
- Level of analysis to determine compliance
- Level of interpretation
- Addition of program coordination responsibilities
- Level and difficulty of training responsibilities

*\*Compliance workers compare to the Standard Occupational Category Code 13-1041.00*

*\*\*The Compliance Specialist Class Series replaced selected position classes through the Administrative Classification Study, January 2002*