



COMPLIANCE OFFICER

SCOPE OF WORK:

Work involves ensuring compliance with rules, regulations, federal and/or state laws, or similar guidelines and is generally associated with a program involving taxes or fee collections, filings, services, or benefits requiring participation based on relatively strict guidelines, eligibility criteria, etc.

DUTIES PERFORMED AT ALL LEVELS:

- Maintain current knowledge of program guidelines through review and research of changes in rules, regulations, federal and/or state laws, etc.
- Provide information and technical assistance to other staff and the general public individually and through seminars and workshops.
- Provide quality control through review of application or claims processing procedures to ensure compliance with guidelines.
- Conduct reviews to identify errors, fraud, or similar problems needing attention.
- Communicate with program participants to provide general information; advise of program, processing, regulatory changes, or to gather data for monitoring compliance.
- Develop collection/payment arrangements for delinquent accounts when alternative options are available.
- Coordinate with other agencies or special groups to gather data for development and maintenance of program objectives, maintain funding levels, eliminate duplication, etc.

<p>NOTE: The duties listed are not intended to be all-inclusive. Duties assigned any individual employee are at the discretion of the appointing authority.</p>

COMPLIANCE OFFICER I
GRADE J

0311

LEVEL DEFINITION:

Work at this level generally involves duties related directly to the application, filing, or claims processing procedures to ensure compliance and also to identify problem areas in eligibility determinations. Individuals work closely with processing staff and will make routine, less complex interpretations of guidelines.

ADDITIONAL DUTIES PERFORMED AT THIS LEVEL:

- Perform routine program administration tasks including responding to inquiries, developing informational or educational materials, developing and maintaining data files for monitoring program effectiveness, and completing required reports, etc.
- May be required to perform lead worker or limited supervision of processing staff.
- May provide input used in establishing program policy and procedures.

MINIMUM QUALIFICATIONS:

Requires a bachelor's degree with a major in business or public administration, accounting, or economics. The hiring agency may substitute another degree major that is more appropriate to a specific program and/or require related work experience. The hiring agency, at its discretion, may substitute up to two years of related professional work experience for the education requirement on a year-for-year-basis.

COMPLIANCE OFFICER II

0312

GRADE L

LEVEL DEFINITION:

Work at this level involves duties related directly to the overall administration of a major program and includes responsibility for program development and on-going modification dependent upon changes in authorizing guidelines. Individuals work closely with other departments and agencies to coordinate overall program objectives and provide direct response to problems, irregularities, abuse, etc.

ADDITIONAL DUTIES PERFORMED AT THIS LEVEL:

- Provide direct input to program development and design.
- Develop and implement procedures for program administration and provide modification as needed.
- Respond to problems of a complex nature and provide final resolutions or recommend acceptable resolutions to a higher authority.
- Review and respond to complaints regarding program procedures.
- May provide direct supervision to professional staff and/or processing staff.

MINIMUM QUALIFICATIONS:

Requires a bachelor's degree with a major in business or public administration, accounting, or economics, and three years of related work experience. Work experience is related if it includes the application and interpretation of guidelines, laws,

rules, regulations, or policies. The hiring agency may substitute another degree major that is more appropriate to a specific program and/or require related work experience.

Eff. Date: 1/75

Rev: 3/78 - Review of grades

Rev: 3/83 - Review of grades and format change

Rev: 8/95 - Review of content to update wording and format change

Rev: 6/05 – Revised scope and min quals

Rev: 7/12 – Conversion to Hay System

Rev: 5/15 – Updated min quals for first level

Rev: 4/19 – Revised min quals for first level; reviewed factor evaluation