



New Mexico State Personnel Office

2600 Cerrillos Road
Santa Fe, New Mexico 87505-0127

Classification Description

COMPLIANCE OFFICERS, EXCEPT AGRICULTURE, CONSTRUCTION, HEALTH AND SAFETY, AND TRANSPORTATION

<u>Class Title</u>	<u>Class Code</u>	<u>Pay Band</u>	<u>Alt Pay Band*</u>
Compliance Officers, Xcpt Agri/Constrt-B	C1041B	50	
Compliance Officers, Xcpt Agri/Constrt-O	C1041O	55	
Compliance Officers, Xcpt Agri/Constrt-A	C1041A	65	

**In accordance with SPB Rule 1.7.4.10 NMAC, the assignment to alternative pay bands shall be reviewed annually to determine their appropriateness.*

Occupation Description

Examines, evaluates, and investigates eligibility for or conformity with laws and regulations governing contract compliance of licenses and permits, and other compliance and enforcement inspection activities not classified elsewhere.

Nature of Work

Compliance Officer, Except Agriculture, Construction, Health and Safety, and Transportation Examines, evaluates, and investigates eligibility for or conformity with laws and regulations governing contract compliance of licenses and permits, and other compliance and enforcement inspection activities not classified elsewhere. As the occupation demonstrates, their duties vary widely, depending on their area of responsibility and level of experience. Confers with and interviews officials, technical or professional specialists, and applicants, in order to obtain information or to clarify facts relevant to licensing decisions. Evaluates applications, records, and documents in order to gather information about eligibility or liability issues. Prepares reports of selection, survey, and other statistics, and recommendations for corrective action. Inspects government-owned equipment and materials in the possession of private contractors, in order to ensure compliance with contracts and regulations and to prevent misuse.

Distinguishing Characteristics of Levels

Note: Examples of Work are intended to be cumulative for each progressively higher level of work. The omission of specific statements does not preclude management from assigning other duties which are reasonably within the scope of the duties.

Basic

- Assists coworkers in conducting full field reviews/investigations in a variety of settings including, but not limited to: public assistance programs, unemployment insurance claims, and client eligibility programs.
- Keeps workplaces safe; food healthy, and the environment clean; and assists in projects that ensure workers', citizens', and special populations' rights are recognized.

Recommended Education and Experience for Full Performance

Associates degree and two (2) years of relevant experience investigating and monitoring conformity with laws and regulations governing contract compliance of licenses and permits.

Minimum Qualifications

High School Diploma or Equivalency and one (1) year of experience in investigations, regulation, policy, statutory, and/or contract compliance.

Operational

- Enforces rules on matters as diverse as safety, food quality, licensing, insurance, utilities, oil drilling, finance, health care and health facilities, child care facilities, architectural regulatory
- Compliance, historic preservation, and archeological excavation.
- Performs in a moderate to broad scope within the specialized field or industry they are assigned to monitor.
- Provides independent review and analysis to ensure quality of care and quality of service.
- Responsible for ensuring program observes policies, procedures, rules, and regulations.
- Responds to complaints.
- Conducts investigations, prepares reports and may testify in legal proceedings.

Recommended Education and Experience for Full Performance*

Associates degree in business administration or a two year degree in a directly related field and four (4) years of experience in the areas rule, regulation, policy and/or statutory compliance, contract compliance, regulatory administration, insurance, utilities, healthcare and/or government assistance programs.

Minimum Qualifications

High School Diploma or Equivalency and two (2) years of experience in investigations, regulation, policy, statutory, and/or contract compliance.

Advanced

- Functions as a technical advisor or expert witness and performs in an extensive specialized scope of one of the areas or industries requiring compliance, such as utilities, health, insurance, or the oil industry.
- Employees provide identification, analysis, and food service solutions for both critical and chronic compliance problems.
- May have program responsibility over one or more projects.

Recommended Education and Experience for Full Performance

Bachelor's degree in Business Administration and three (3) years of experience in the areas of rule, regulation, policy and/or statutory compliance, contract compliance, regulatory administration, insurance, utilities, healthcare and/or government assistance programs.

Minimum Qualifications

Bachelor's degree in Business Administration and two (2) years of experience in investigations, regulation, policy, statutory, and/or contract compliance. Any combination of education from an accredited college or university in a related field and/or direct experience in this occupation totaling six (6) years may substitute for the required education and experience.

Knowledge and Skills

*Note: This information has been produced by compiling information and documentation provided by O*NET. O*NET™ is a trademark of the U.S. Department of Labor, Employment and Training Administration.*

Knowledge

Law and Government — Knowledge of laws, legal codes, court procedures, precedents, government regulations, executive orders, agency rules, and the democratic political process.

English Language — Knowledge of the structure and content of the English language including the meaning and spelling of words, rules of composition, and grammar.

Chemistry — Knowledge of the chemical composition, structure, and properties of substances and of the chemical processes and transformations that they undergo. This includes uses of chemicals and their interactions, danger signs, production techniques, and disposal methods.

Biology — Knowledge of plant and animal organisms, their tissues, cells, functions, interdependencies, and interactions with each other and the environment.

Public Safety and Security — Knowledge of relevant equipment, policies, procedures, and strategies to promote effective local, state, or national security operations for the protection of people, data, property, and institutions.

Mathematics — Knowledge of arithmetic, algebra, geometry, calculus, statistics, and their applications.

Engineering and Technology — Knowledge of the practical application of engineering science and technology. This includes applying principles, techniques, procedures, and equipment to the design and production of various goods and services.

Customer and Personal Service — Knowledge of principles and processes for providing customer and personal services. This includes customer needs assessment, meeting quality standards for services, and evaluation of customer satisfaction.

Skills

Active Listening — Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times.

Critical Thinking — Using logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems.

Speaking — Talking to others to convey information effectively.

Complex Problem Solving — Identifying complex problems and reviewing related information to develop and evaluate options and implement solutions.

Reading Comprehension — Understanding written sentences and paragraphs in work related documents.

Active Learning — Understanding the implications of new information for both current and future problem-solving and decision-making.

Monitoring — Monitoring/Assessing performance of yourself, other individuals, or organizations to make improvements or take corrective action.

Quality Control Analysis — Conducting tests and inspections of products, services, or

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processes to evaluate quality or performance.

Social Perceptiveness — Being aware of others' reactions and understanding why they react as they do.

Writing — Communicating effectively in writing as appropriate for the needs of the audience.

Statutory Requirements: N/A

Conditions of Employment: Working Conditions for individual positions in this classification will vary based on each *agency's utilization, essential functions,* and the *recruitment needs* at the time a vacancy is posted. All requirements are subject to possible modification to reasonably accommodate individuals with disabilities.

Default FLSA Status: Non-Exempt. FLSA status may be determined to be different at the agency level based on the agency's utilization of the position.

Bargaining Unit: This position may be covered by a collective bargaining agreement and all terms/conditions of that agreement apply and must be adhered to.

Established: 07/07/2001 **Revised:** 9/20/2011, 10/15/2015 (Min Qual)

**Adapted from the United States Bureau of Labor Statistics and are intended to illustrate the typical education and experience required for this occupation.*

Note: Classification description subject to change. Please refer to the SPO website www.spo.state.nm.us to ensure this represents the most current copy of the description.