



New Mexico State Personnel Office

2600 Cerrillos Road
Santa Fe, New Mexico 87505-0127

Classification Description

COMPLIANCE OFFICER, EXCEPT AGRICULTURE, CONSTRUCTION, HEALTH AND SAFETY, AND TRANSPORTATION SUPERVISOR

<u>Class Title</u>	<u>Class Code</u>	<u>Pay Band</u>	<u>Alt Pay Band*</u>
Compliance Officers, Xcpt Agri/Con. Supv.	C1041S	70	

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

Purpose

Devotes a substantial portion of time assigning and directly supervising work of at least two (2) full time equivalent employees**, acting upon leave requests, conducting annual performance evaluations and recommending disciplinary actions. Interviewing and recommending selection of applicants and conducting training of personnel. 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

The Compliance Officer, Except Agriculture, Construction, Health and Safety, and Transportation Supervisor devotes a substantial portion of time assigning and directly supervising work of at least two (2) full time equivalent employees and 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

The omission of specific statements does not preclude management from assigning other duties which are reasonably within the scope of the duties.

- Devotes a substantial portion of time assigning and directly supervising work of at least two (2) permanent/full time employees. Acts upon leave requests, conducts annual performance evaluations and recommends disciplinary actions.
- Conducts training of personnel; may interview and recommend selection of applicants.

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- Provides career coaching through mentoring and arranges for outside training opportunities when possible.
- Makes well-informed, effective, and timely decisions and perceives the impact and implications of those decisions.
- Makes point of view in a clear and convincing manner.
- Listens effectively and clarifies information as needed.
- Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.
- Writes in a clear and concise manner.
- Develops networks and builds alliance; collaborates across boundaries to build strategic relationships and achieve common goals.
- Builds and manages workforce based on organizational goals, budget considerations, and staffing needs
- Ensures that employees are appropriately recruited, selected, and appraised; addresses performance issues.
- Keeps up to date on occupationally specific technological developments; makes effective use of technology to achieve results.
- 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, two (2) years of which must be supervisory.

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

Leadership - Knowledge of leading through influence and persuasion by establishing mutual trust, respect, and loyalty, through shared beliefs, values, and goals; Being cognizant of subordinates' needs, goals, and aspirations, and to carefully consider these personal variables when making decisions.

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

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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

Leadership - Displaying attributes that makes employees willing to follow; applying effort to increase productiveness in areas needing the most improvement; establishing a spirit of cooperation and cohesion for achieving goals; making the right things happen on time; providing performance feedback, coaching, and career development to individuals to maximize their probability of success; giving subordinates the authority to get things accomplished in the most efficient and timely manner.

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.

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Quality Control Analysis — Conducting tests and inspections of products, services, or 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: Exempt. FLSA status may be determined to be different at the agency level based on the agency's utilization of the position.

Bargaining Unit: N/A

Established: 04/27/2012 **Revised:**

***Means two (2) or any combination of full-time equivalent (FTE) status that equals at least two (2) regular or term status employees in non-temporary positions.*

****Adapted from the United States Bureau of Labor Statistics and are intended to illustrate the typical education and experience required for this occupation. Not to be construed as minimum qualifications.*

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.