



STATE OF NEVADA
Department of Administration
Division of Human Resource Management

CLASS SPECIFICATION

<u>TITLE</u>	<u>GRADE</u>	<u>EEO-4</u>	<u>CODE</u>
CHIEF COMPLIANCE INVESTIGATOR	35	B	11.353
SUPERVISORY COMPLIANCE INVESTIGATOR	34	B	11.354
COMPLIANCE INVESTIGATOR II	32	B	11.358
COMPLIANCE INVESTIGATOR I	28	B	11.359

SERIES CONCEPT

Compliance Investigators perform investigations regarding violations of federal and/or State laws or regulations pertaining to a specific State program or regulatory area such as public assistance, real estate, insurance, employment discrimination or sexual harassment. The investigative process is initiated following a formal complaint or suspected violation utilizing standard investigative techniques. Incumbents are not sworn peace officers, and enforcement actions are limited to the specific program or regulatory area and involve informal resolution and/or recommendations for administrative sanctions or penalties which are imposed by a higher authority.

Receive informal and formal complaints by phone or in writing and make determinations regarding possible program violations and jurisdiction under a specified program area; gather and analyze background information and facts pertaining to the case.

Conduct interviews with complainants, witnesses, employers, State and local governmental agencies and other sources to obtain information regarding violations or noncompliance; develop leads and facts pertaining to the case to substantiate violation.

Prepare required forms and/or notices and send to appropriate parties regarding complaint and alleged violations; review responses and discuss with complainant and respondent.

Gather evidence such as records, reports, bank statements, bills, check stubs, sales receipts, transaction verifications, personnel files and historical data pertaining to the initial violation to develop trends or patterns to support the complaint; conduct surveillance activities and serve subpoenas to obtain evidence and expedite the case as required.

Develop case files and maintain case logs and reports; file evidence along with chronological documentation regarding investigative steps taken and all contact made with complainant, respondent, witnesses and other sources; utilize information to develop final case report for further litigation as appropriate.

Coordinate possible resolution of complaint on an informal basis by conducting meetings and discussions with contending parties, addressing evidence gathered and steps to regain compliance and/or resolution of complaint; negotiate and stipulate final agreements in writing; monitor case to ensure adherence to agreements.

Prepare investigative reports encompassing all facts pertaining to the case; outline suspected violations, statements of facts, documentation of evidence, violations committed, statements obtained and findings and conclusions, for review by a higher authority for sanctions and/or criminal prosecution; appear before the governing body or in a court of law to provide testimony as required.

Maintain logs and statistical reports regarding status of on-going cases, final disposition, and field work performed, complaints received, and penalties imposed.

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SERIES CONCEPT (cont'd)

Conduct training programs regarding agency services, rules and regulations for employers, community groups and the general public to ensure compliance, understanding and awareness.

May conduct investigations of business activities on an as needed basis to ensure compliance with program rules and regulations and stipulated agreements.

Perform related duties as assigned.

CLASS CONCEPTS

Chief Compliance Investigator: Under general direction, incumbents are responsible for all investigative and administrative activities on a statewide basis; establish and direct investigative and enforcement activities based on department goals and objectives; review and evaluate operational efficiency and compliance with program policy and procedures; and directly supervise a large staff of subordinate Compliance Investigators in intake, mediation and investigative functions.

An example of a Chief Compliance Investigator position is at the Nevada Equal Rights Commission of the Department of Employment, Training & Rehabilitation. The incumbent reports to the Administrator of the division and is responsible for complaint resolution, regaining compliance, pursuing criminal prosecution, imposing administrative sanctions and penalties, or appearing before a hearings board or commission as required. The incumbent provides testimony before the governing body or in a court of law and provides Equal Employment Opportunity (EEO) training and guidance. The incumbent supervises twelve investigators who investigate employment discrimination complaints relating to race, national origin, color, creed/religion, sex (gender and/or orientation), age, and disability (ADA), in employment, housing and public accommodations.

Supervisory Compliance Investigator: Under general supervision, incumbents perform the full range of duties described in the series concept and in addition, act as a first-line supervisor. Incumbents review initial complaints, assign cases to lower level investigators and monitor and direct investigative staff regarding procedures and appropriate courses of action. Incumbents conduct the more complex or difficult case assignments characterized by their sensitive or high-profile nature that may involve multiple program violations requiring an extensive knowledge of program rules and regulations as well as federal and State laws and guidelines. This class is distinguished from lower level investigators by supervisory responsibility for a staff of investigators that perform compliance/regulatory duties for a specific program area such as public assistance, real estate, insurance, employment discrimination or sexual harassment. Incumbents provide training to new investigators, prepare performance reviews, supervise and coordinate the investigative process and make final recommendations to the Chief or Program Administrator regarding investigative reports.

Compliance Investigator II: Under general supervision, incumbents perform the full range of duties described in the series concept in an investigative unit at the journey level. Duties are distinguished from the Compliance Investigator I class by greater complexity and independence in performing job assignments at the full journey level.

Compliance Investigator I: Under close supervision, incumbents perform the duties described in the series concept in a training capacity. Work is assigned through instructions and reviewed for accuracy. Progression to the next level may occur upon meeting the minimum qualifications, satisfactory performance and with the recommendation of the appointing authority.

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MINIMUM QUALIFICATIONS

SPECIAL REQUIREMENTS:

- * Pursuant to NRS 284.4066, some positions in this series have been identified as affecting public safety. Persons offered employment in these positions must submit to a pre-employment screening test for controlled substances.
- * A valid driver's license is required at the time of appointment and as a condition of continuing employment.

CHIEF COMPLIANCE INVESTIGATOR

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in criminal justice, police science, psychology, social work, business administration or other discipline related to the assignment and three years of investigative and/or program-related experience where standard investigative techniques were utilized to make program compliance determinations, enforce federal and State laws, and prepare detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Work experience may be obtained in law enforcement, investigative, regulatory, program related or comparable setting; **OR** graduation from high school or equivalent education and five years of investigative or program related experience as outlined above; **OR** two years of experience as a Supervisory Compliance Investigator in Nevada State service; **OR** an equivalent combination of education and experience as described above. *(See Special Requirements)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Ability to: oversee investigative activities on a statewide basis; supervise and evaluate the performance of a large staff; plan, organize and assign work to subordinate staff; gain the respect of others; negotiate and formulate complaint resolution; explain methods and requirements for compliance with agency policy; assist in the development of agency goals, objectives, operating policy and procedure; *and all knowledge, skills and abilities required at the lower levels.*

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

Detailed knowledge of: Nevada Revised Statutes, agency policy and procedure and federal laws that pertain to the supervision of investigative activities. **Working knowledge of:** supervisory principles and practices as well as State personnel policy necessary to supervise subordinate personnel. **Ability to:** maintain cooperative working relationships with law enforcement agencies, government officials, the judicial system, and the general public; provide in-service training to subordinates on program rules and regulations, investigative and enforcement techniques and courtroom procedures; motivate others to take appropriate action; communicate program goals, policy and procedures to subordinate staff, law enforcement agencies, the judicial system and the general public; supervise a staff of investigators performing program compliance investigations.

SUPERVISORY COMPLIANCE INVESTIGATOR

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in criminal justice, police science, psychology, social work, business administration or other discipline related to the assignment and two years of investigative experience as an investigator in a specified program area where standard investigative techniques were utilized to make program compliance determinations and prepare detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Work experience may be obtained in a law enforcement, investigative, regulatory or comparable setting; **OR** graduation from high school or equivalent education and four years of investigative experience as outlined above; **OR** two years of experience as a Compliance Investigator II in State service; **OR** an equivalent combination of education and experience as described above. *(See Special Requirements)*

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MINIMUM QUALIFICATIONS (cont'd)

SUPERVISORY COMPLIANCE INVESTIGATOR (cont'd)

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Detailed knowledge of: civil law and related criminal law to enforce program regulations as well as federal and State laws; recordkeeping practices to obtain and store needed investigative reports and documents. **Working knowledge of:** the methods and practices of effective investigations and what constitutes legal evidence; Nevada Revised Statutes, agency policies and procedures as well as federal laws or regulations that pertain to the specified program area. **General knowledge of:** supervisory principles and practices. **Ability to:** conduct the most complex investigations which are of a sensitive or high profile nature; maintain effective working relationships with other enforcement agencies; negotiate and formulate complaint resolution; explain methods and requirements for compliance of agency policy to staff, service providers, the public, legal representatives, and the court; provide in-service training to subordinate staff on investigative methods and courtroom procedures; prepare and implement policy and procedures when needed; motivate others to take appropriate action; think through the consequence of a decision prior to making it; provide direction to investigative staff on a wide variety of casework assignments and investigations; analyze investigative reports and methods used for determining findings to ensure compliance with federal or State guidelines; *and all knowledge, skills and abilities required at the lower levels.*

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

(These are identical to the Entry Level Knowledge, Skills, and Abilities required for Chief Compliance Investigator.)

COMPLIANCE INVESTIGATOR II

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in criminal justice, political science, psychology, social work, business administration or other discipline related to the assignment and one year of investigative experience as an investigator in a specified program area where standard investigative techniques were utilized to make program compliance determinations and prepare detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Work experience may be obtained in a law enforcement, investigative, regulatory or compliance setting; **OR** graduation from high school or equivalent education and three years of experience as described above; **OR** one year of experience as a Compliance Investigator I in Nevada State service; **OR** an equivalent combination of education and experience as described above. *(See Special Requirements)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND ABILITIES (required at time of application):

Working knowledge of: investigative principles and accepted practices; accounting and auditing principles; rules of evidence and the rights of citizens; office procedures, methods and equipment; recordkeeping practices to obtain needed information for investigations, auditing, and special projects; the functions of other State agencies to refer complainants to the appropriate jurisdiction. **General knowledge of:** federal and State laws pertaining to the program area. **Ability to:** analyze program records and reports; make oral group presentations to provide information and explain procedures, policies and laws pertaining to the program area; read and interpret contracts and legal documents in relation to program area; work independently and as part of a team; review and analyze information received from businesses, complainants and governmental agencies; conduct interviews both in person and by phone to ascertain factual information; mediate and negotiate resolution between contending parties; maintain equanimity in the face of resistance, indifference and hostility; *and all knowledge, skills and abilities required at the lower level.*

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):

(These are identical to the Entry Level Knowledge, Skills, and Abilities required for Supervisory Compliance Investigator.)

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MINIMUM QUALIFICATIONS (cont'd)

COMPLIANCE INVESTIGATOR I

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in criminal justice, political science, psychology, social work, business administration or closely related field; **OR** graduation from high school or equivalent education and two years of experience where standard investigative techniques were utilized to make program compliance determinations and prepare detailed reports for the purpose of justifying administrative sanctions, penalties or criminal prosecution. Work experience may be obtained in law enforcement, investigative, regulatory or compliance setting; **OR** an equivalent combination of education and experience as described above. *(See Special Requirements)*

ENTRY LEVEL KNOWLEDGE, SKILLS AND (required at time of application):

General knowledge of: research techniques and application; basic investigative techniques; the theories of human behavior and psychology. **Ability to:** write concise, logical, grammatically correct reports; speak on a one-to-one basis using appropriate vocabulary and grammar to obtain information and to explain policies; record information quickly and accurately; convey accurate and precise data in a timely manner within established time frames; read and interpret statutes related to the program area to make compliance determinations; speak with individuals of various social, cultural, economic and educational backgrounds.

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):
(These are identical to the Entry Level Knowledge, Skills, and Abilities required for Compliance Investigator II.)

This class specification is used for classification, recruitment, and examination purposes. It is not to be considered a substitute for work performance standards for positions assigned to this class.

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ESTABLISHED:		7/1/91P	7/1/91P	7/1/91P
		10/19/90PC	10/19/90PC	10/19/90PC
REVISED:		11/15/91PC	11/15/91PC	11/15/91PC
REVISED:	2/18/11PC	2/18/11PC	2/18/11PC	2/18/11PC