



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/AUDIT INVESTIGATOR	37	B	11.360
COMPLIANCE/AUDIT INVESTIGATOR III	35	B	11.363
COMPLIANCE/AUDIT INVESTIGATOR II	33	B	11.365
COMPLIANCE/AUDIT INVESTIGATOR I	30	B	11.366

SERIES CONCEPT

Compliance/Audit Investigators perform investigative and auditing functions to monitor compliance and detect violations of federal and/or State laws or regulations pertaining to a specific program or regulatory area such as securities, Medicaid, mortgage lending, or workers' compensation. Investigators allocated to this series do not require P.O.S.T. certification.

Enforcement powers regarding program violations are limited to a specific program area that involves administrative sanctions or penalties imposed by the federal government, State official or a Hearings Board. Criminal violations are referred to the appropriate criminal justice agency for prosecution. This series is distinguished from other investigative classes by the additional audit function which is performed at least 25% of the time. Audit work is performed in a specialized field which requires an extensive knowledge of federal and/or State laws, program rules and regulations; business operations; corporate structure; financial transactions, terminology and recordkeeping; and detecting falsified records and/or program violations. Violations may be elaborately planned and sophisticated in nature requiring extensive research and analysis to detect.

Receive and review formal complaints; make determinations regarding possible program violations and jurisdiction within the specified program area; gather and analyze background information and facts pertaining to the complaint; make determinations regarding the extent of violations, and recommendations to initiate a formal investigation.

Conduct interviews with complainant, witnesses, employers, State and local government agencies and other sources to obtain information regarding violations or noncompliance and develop leads and facts pertaining to the case to prove a violation or criminal intent exists.

Prepare required forms and notices; deliver to appropriate party regarding complaint and/or alleged violations following department policy and procedure; respond, review and discuss with complainant and respondent.

Develop case files and maintain case logs and reports; place evidence in case file along with chronological documentation regarding investigative steps taken and all contact made with complainant, respondent, witnesses and other sources; preserve and utilize evidence to develop final case reports and/or for future litigation.

Gather and review evidence such as business and financial records, service contracts, professional reports, bank statements, billing documents, sales transactions, client account records, personnel files and historical data pertaining to the suspected violation to develop trends, patterns and to support complaint; serve subpoenas or other legal documents as required.

Conduct audits on a periodic basis by either randomly selecting individual firms or business or as required by State law and reviewing business transactions for completeness, accuracy, and compliance with federal and/or State laws and regulations; evaluate internal procedures, operating methods, fiscal controls, and verify validity of financial statements and records; explain provisions and application of federal and/or State guidelines and discuss assessments, audit findings and recommendations.

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SERIES CONCEPT (cont'd)

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

Conduct research regarding program rules, court decisions, industry practices and standards, procedures and techniques to ensure compliance, and to develop or revise program regulations or policies; plan and coordinate investigations and audits to determine whether administrative and/or criminal action should be taken.

Prepare investigative and audit reports encompassing results of examination of accounting records, known violations, statement of facts, case summary, and exhibits of evidence, statements obtained from witnesses, conclusions and recommendations; review and submit reports for hearing or prosecution, and to impose fines and penalties; appear before the governing body or in a court of law to provide testimony as required.

Perform related duties as assigned.

CLASS CONCEPTS

Chief Compliance/Audit Investigator: Under general direction, incumbents are responsible for the administration of investigative activities on a statewide basis. They establish and direct investigative activities based on department goals and objectives; review and evaluate operational efficiency and compliance with program policy and procedures; and directly supervise a staff of subordinate Compliance/Audit Investigators performing Medicaid, securities, real estate, mortgage lending, insurance, prevailing wage or workers' compensation investigations and audits. Incumbents assist in the planning and development of the program budget, internal policy and procedure, and the implementation or introduction of State legislation. In addition, they work directly with the Program Administrator, agency heads, business representatives, violators, the complainant and judicial system regarding complaint resolution, regaining compliance, pursuing criminal prosecution, imposing administrative sanctions or penalties or addressing a hearings board or commission.

Oversee the training of staff based on projected or identified needs in the area of investigations, audit, inspection, community relations, program rules and regulations and related laws; review and approve training programs to ensure compliance with program goals and objectives.

Prepare and approve work schedules which involves assigning days off, duty hours or compensatory leave; allocate investigators to shifts based on assessed needs; maintain reporting procedures and review status reports to determine achievement of objectives and compliance with applicable laws and regulations.

Oversee the use and repair of property and equipment by inspecting and ascertaining repairs or replacement; analyze equipment requests, determine needs and prepare requests or recommendations.

Identify program needs, research and develop policy and procedures, and develop written proposals for presentation to management; submit requests for procedural changes in order to improve compliance, audit and enforcement activities to the agency head.

Compliance/Audit Investigator III: Under limited supervision, incumbents act as a leadworker on a regular reoccurring basis and perform specialized investigative/audit functions dealing with complex and/or multiple program violations and/or criminal activity. Extensive knowledge of federal and/or State laws, case law, program regulations, industry standards, concepts and practices is required to conduct detailed investigations and audits.

Final reports and recommendations are reviewed and approved by the Chief Investigator or Program Administrator.

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CLASS CONCEPTS (cont'd)

Compliance/Audit Investigator III: (cont'd)

This level in the class series is distinguished from the lower level by responsibility for making determinations on the level and intent of investigations, and acting as a leadworker by providing training or coordinating the work of Compliance/Audit Investigator II's and I's while conducting investigative and/or audit functions. Incumbents review final investigative or audit reports for accuracy, clarity, format, and to ensure policy and procedure was followed, and provide assistance to lower level investigators regarding case preparation and presentation in a court of law.

Compliance/Audit Investigator III's recommend or develop new and/or revised policy, procedure and proposed legislation to aid in the compliance and control of program areas.

Compliance/Audit Investigator II: Under general supervision, incumbents perform the duties outlined in the series concept and work independently utilizing generally accepted investigative and auditing principles and practices. This is the journey level in the series.

Compliance/Audit Investigator I: Under close supervision, incumbents receive on-the-job and/or formal training in the areas of compliance investigation and auditing. Incumbents also receive training in the laws, regulations, policies and procedures associated with the assigned program area. Incumbents perform all or part of the duties described in the series concept.

This is the entry level class which provides for progression to the next level upon meeting the minimum qualifications, satisfactory performance and with the recommendation of the appointing authority.

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 first submit to a pre-employment screening test for controlled substances.
- * Some positions may be required to submit to a background investigation.
- * A valid driver's license is required at the time of appointment and as a condition of continuing employment.

CHIEF COMPLIANCE/AUDIT INVESTIGATOR:

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in business or public administration, business management, accounting, or related field and four years of professional experience in an investigative, auditing or professional program-related position which required the application of federal and/or State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanction penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** graduation from high school or equivalent education and six years of experience, four of which were in a professional investigative, auditing or professional program-related position which required the application of federal and/or State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions, penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** two years of experience as a Compliance/Audit Investigator III in Nevada State service; **OR** an equivalent combination of education and experience as described above. (See *Special Requirements*)

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MINIMUM QUALIFICATIONS (cont'd)

CHIEF COMPLIANCE/AUDIT INVESTIGATOR: (cont'd)

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

Detailed knowledge of: the purpose, activities and functions of the program area as applied to administering audit/compliance activities. **Working knowledge of:** rules of evidence, rights of citizens and court procedures. **Ability to:** oversee audit/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; provide presentations to senior managers, commission and formal business meetings/groups, simplifying complex ideas and information; assist in the development of agency goals, objectives, operating policy and procedure; and testify in a court of law.

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 audit/investigative activities. **Working knowledge of:** supervisory principles and practices as well as State personnel policy necessary to supervise subordinate personnel. **Ability to:** motivate others to take appropriate action; provide in-service training to subordinates on program rules and regulations, audit/investigative techniques and courtroom procedures; analyze information, problems, situations, practices or procedures to define problems or objectives; communicate program goals, policy and procedures to subordinate staff, agencies, the judicial system and the general public; supervise a staff of investigators performing program audit/compliance investigations; *and all knowledge, skills and abilities required at the lower levels.*

COMPLIANCE/AUDIT INVESTIGATOR III:

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in business or public administration, business management, accounting, or related field and three years of professional experience in an investigative, auditing or program-related position which required the application of federal and/or State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions or penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** graduation from high school or equivalent education and five years of experience, three of which were in a professional investigative, auditing or professional program-related position which required the application of federal and/or State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions or penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** one year of experience as a Compliance/Audit Investigator II 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: civil law and related criminal law to enforce program regulations as well as to ensure federal and State compliance; methods and practices of effective investigations and what constitutes legal evidence; recordkeeping practices to obtain and store needed investigative reports and documents; computer usage and program-related terminology to access and input required data. **Ability to:** prioritize numerous assignments and make needed adjustments; work independently with minimal supervision; maintain equanimity in the face of resistance, indifference and hostility; resolve complaints from consumers, business representatives and other State and local agencies; delegate responsibility.

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

Detailed knowledge of: complex auditing procedures and investigative techniques involving falsified, altered or misleading documents, transactions, accounting or business records; corporate structure and business operations; policy and procedure related to conducting business as it relates to the program area. **Working**

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MINIMUM QUALIFICATIONS (cont'd)

COMPLIANCE/AUDIT INVESTIGATOR III (cont'd)

FULL PERFORMANCE KNOWLEDGE, SKILLS AND ABILITIES (typically acquired on the job):(cont'd)
knowledge of: program laws and regulations at the federal, national, and/or State level. **Ability to:** plan and direct the activities of subordinates regarding investigative and auditing functions; present meaningful solutions toward improvement and/or resolution of operational procedures; gain and maintain the confidence and cooperation of a variety of business and management officials contacted in the course of work; effectively present complicated and technical information to management, employees and public officials; *and all knowledge, skills and abilities required at the lower levels.*

COMPLIANCE/AUDIT INVESTIGATOR II:

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university business or public administration, business management, accounting, or related field and two years of professional experience in an investigative, auditing or professional program-related position which required the application of federal and State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions or penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** graduation from high school or equivalent education and four years of experience, two of which were in a professional investigative, auditing or professional program-related position which required the application of federal and/or State laws, policy and procedure in making program compliance determinations; preparing detailed reports for the purpose of justifying administrative sanctions or penalties or changes in management practices, policy and procedure; or recommending criminal prosecution; **OR** two years of experience as a Compliance/Audit 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: general accounting procedures and rules; business practices and procedures; investigative principles and practices; office procedures, methods and equipment. **Ability to:** analyze statutes, rules, and regulations and apply to investigative or audit findings; 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 the program area; review and analyze information received from business, complainant and governmental agencies; conduct interviews both in person and by phone to ascertain factual information; mediate and negotiate resolution between contending parties.

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

Working knowledge of: the scope and purpose of program laws, rules and regulations on a federal, national, and/or State level; accounting practices of various types of program related areas; corporate law governing ownership and conflict of interest. **Ability to:** conduct independent investigations and audits with minimal supervision; make independent judgments and recommendations; plan and organize workload; develop cooperative working relationships with federal, State, and local agencies; *and all knowledge, skills and abilities required at the lower level.*

COMPLIANCE/AUDIT INVESTIGATOR I

EDUCATION AND EXPERIENCE: Bachelor's degree from an accredited college or university in business or public administration, business management, accounting, or related field; **OR** graduation from high school or equivalent education and two years of experience in an auditing or program-related position equivalent to an Administrative Assistant III or Accounting Assistant III in Nevada State service which required the application of federal and/or State laws, policy and procedures; reviewing documents prepared by others for program compliance determinations; preparing reports which summarize financial and statistical information; or maintaining financial records related to revenues and expenses, grants, budgets, purchases, and/or accounts;

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MINIMUM QUALIFICATIONS (cont'd)

COMPLIANCE/AUDIT INVESTIGATOR I (cont'd)

EDUCATION AND EXPERIENCE: (cont'd)

OR an equivalent combination of education and experience as described above.

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

General knowledge of: research techniques and application; basic investigative and auditing techniques.

Ability to: write concise, logical and 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 determine compliance; speak with individuals of various social, cultural, economic and educational backgrounds; maintain cooperative working relationships with staff members; work independently and as part of a team; complete required forms and documents.

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

Working knowledge of: agency recordkeeping practices to obtain needed information for investigations, auditing, and special projects; the functions of other State agencies to refer complaints to the appropriate jurisdiction; program rules and regulations; federal and State laws pertaining to the program area. **Ability to:** review and analyze complaints for possible program or statutory violations; conduct interviews to obtain needed information; detect falsified records.

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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REVISED:			11/15/91PC	11/15/91PC
REVISED:		12/10/10PC	12/10/10PC	12/10/10PC
REVISED:	5/06/11PC	5/06/11PC	5/06/11PC	5/06/11PC