Iowa Department of Administrative Services – Human Resources Enterprise
Classification Series Guidelines

Compliance Officer Series

Classes in the Series

Class Code	Class Title
00640	Compliance Officer 1
00641	Compliance Officer 2
90639	Compliance Officer 2

Series Concept

Positions classified in this series are responsible for determining and ensuring compliance with state and federal laws, rules, regulations, and program requirements. This work typically involves review of legal materials and/or actions by organizations or individuals, within the context of the following:

1. *Monitoring and Reporting*: Position incumbents monitor regulatory changes and ensure that the organization adheres and adapts to relevant laws, regulations, and standards.
2. *Policy Development and Support*: Position incumbents develop and implement policies, procedures, and recommendations to mitigate compliance risks within the organization.
3. *Training and Education*: Position incumbents educate other staff about compliance issues and provide guidance to ensure understanding and adherence to policies.
4. *Investigation and Resolution*: Position incumbents investigate potential compliance violations, identify root causes, and recommend corrective actions to prevent future issues.

Positions are assigned to review and analyze the facts, data, documents, and other information and write legal opinions and recommendations. Positions may work closely with the Attorney General's office on matters that may be litigated. Many positions are responsible for drafting and reviewing administrative rules and proposed legislation, and (when not a responsibility of the agency's legislative liaison) may even serve as the agency's dedicated rules coordinator.

Exclusions

Positions that act as an impartial judge at contested case hearings as provided for in Iowa Code Chapter 17A. These positions are classified in the Administrative Law Judge series.

Positions that serve as an agency's designated Legislative Liaison should be classified within the Executive Officer series under the "legislative liaison" concept.

Positions that are legal representatives and provide legal advice for a department. These positions are classified in the Attorney series.

Positions that perform legal work in the Attorney General's Office. These positions are classified in the Assistant Attorney General series.

Class Distinctions

Compliance Officer 1 (Class Code 00640)

This is the trainee level for the series. Incumbents spend a minimum of 18 months at this level learning and preparing to be eligible for advancement to the journey level for the series.

Compliance Officer 2 (Class Code 00641)

Positions at this level function at the journey level. Incumbents have been promoted to this level from Compliance Officer 1 or have had qualifying experience elsewhere that has prepared them for work as a Compliance Officer 2.

Compliance Officer 2 (Class Code 90639)

This class code is used for positions that are exempt from collective bargaining. This class is considered both trainee and journey for positions exempted from bargaining. Consequently, the class has an extended range that is considered equal to the contract-covered classes.

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