

Iowa Department of Administrative Services – Human Resources Enterprise  
Job Classification Description

## Compliance Officer 1

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### Definition

Performs trainee-level professional duties to ensure/support compliance with department-enforced state and federal laws, rules, guidelines, and program requirements; performs related work as required.

*The work examples and competencies listed below are for illustrative purposes only and not intended to be the primary basis for position classification decisions.*

### Work Examples

Learns to confer and correspond with attorneys and other concerned parties to acquire information on matters involving department actions or sanctions; advises department staff on the legality of procedures; recommends action to ensure compliance with state and federal laws, rules, guidelines and program requirements based upon review and analysis of relevant facts, data, policies and information.

Learns to prepare legal documents, litigation packages, formal citations, audit recommendations, position papers and other material for use in administrative proceedings, audit reviews or enforcement actions; represents the department at administrative proceedings as required; prepares proposals for amendments to statutory provisions, rules, guidelines or procedures to provide more effective compliance and enforcement activities as well as improved department operations.

Maintains liaison with the Iowa Attorney General's staff, program administrators or directors, and concerned parties to obtain or convey information on cases, investigative audits, or management studies referred for compliance or enforcement action.

Develops and administers a quality assurance program through the establishment of policies, procedures, and corrective action plans which monitor compliance with federal, state, and/or private licensure, certification rules and laws.

Discuss emerging compliance issues to ensure that management and employees are informed about compliance reporting systems, policies, and practices.

Assist higher level compliance officers with various projects.

### Competencies Required

Knowledge:

- Law and Government – Laws, legal codes, court procedures, precedents, government regulations, executive orders, agency rules, and the democratic political process.
- Administration and Management – Business and management principles involved in strategic planning, resource allocation, human resources modeling, leadership technique, production methods, and coordination of people and resources.
- Customer and Personal Service – Principles and processes for providing customer and personal services. This includes customer needs assessment, meeting quality standards for services, and evaluation of customer satisfaction.

- English Language – The structure and content of the English language, including the meaning and spelling of words, rules of composition, and grammar.

Abilities:

- Deductive Reasoning – Apply general rules to specific problems to produce answers that make sense.
- Inductive Reasoning – Combine pieces of information to form general rules or conclusions.
- Information Ordering – Arrange things or actions in a certain order or pattern according to a specific rule or set of rules (e.g., patterns of numbers, letters, words, pictures, mathematical operations).
- Problem Sensitivity – Tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing that there is a problem.
- Oral Comprehension – Listen to and understand information and ideas presented through spoken words and sentences.
- Oral Expression – Communicate information and ideas in speaking so others will understand.
- Written Expression – Communicate information and ideas in writing so others will understand.

Skills:

- Monitoring – Monitoring/Assessing performance of yourself, other individuals, or organizations to make improvements or take corrective action.
- 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.
- Judgment and Decision Making – Considering the relative costs and benefits of potential actions to choose the most appropriate one.
- 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.
- Complex Problem Solving – Identifying complex problems and reviewing related information to develop and evaluate options and implement solutions.
- Writing – Communicating effectively in writing as appropriate for the needs of the audience.
- Speaking – Talking to others to convey information effectively.

## Minimum Qualification Requirements

Applicants must meet at least one of the following minimum requirements to qualify for positions in this job classification:

- 1) Graduation from an accredited four-year college or university with a degree in any field, and experience equal to three years of full-time work in investigative or closely related work which

involved: preparing interpretative or administrative orders, rules, or regulations which have the effect of law; or interpreting and enforcing federal or state laws governing health care administration; or quality assurance review to determine, through internal audit or analysis, the level of compliance with program requirements; or drafting, negotiating, or examining contracts or related documents required for organizational operations.

- 2) Graduation from an accredited four-year college or university with a degree in any field, and experience equal to three years of full-time, professional-level work involving the interpretation and enforcement of federal and state laws or department policies and procedures or quality assurance review as determined through internal audit or analysis of the level of compliance to program requirements.
- 3) Graduation from accredited school of law.
- 4) A total of seven years of education and/or full-time experience (as described in number one and two), where thirty semester hours of accredited college or university coursework in any field equals one year of full-time experience.

*Effective date: 04/22 SA*