

**STATE OF WISCONSIN
CLASSIFICATION SPECIFICATION**

COMPLIANCE OFFICER

I. INTRODUCTION

A. Purpose of This Classification Specification

This classification specification is the basic authority under Wisconsin Administrative Code ER 2.04 for making classification decisions relative to present and future professional positions which function as compliance officers, managing a compliance program for a division or Bureau.

This classification specification is not intended to identify every duty which may be assigned to positions allocated to this classification but is intended to serve as a framework for classification decision making in this occupational area.

Classification decisions must be based on the “best fit” of the duties within the existing classification structure. The “best fit” is determined by the majority (i.e., more than 50%) of the work assigned to and performed by the position when compared to the class concepts and definition of this specification or through other methods of position analysis. Position analysis defines the nature and character of the work through the use of any or all of the following: definition statements; listing of areas of specialization; representative examples of work performed; allocation patterns of representative positions; job evaluation guide charts, standards, or factors; statements of inclusion and exclusion; license or certification requirements; and other such information necessary to facilitate the assignment of positions to the appropriate classification.

B. Inclusions

This classification specification encompasses professional management and/or supervisory positions, as defined in 111.81(13) and (19), Wis. Stats., that are responsible for managing a compliance and enforcement program for a division or bureau.

C. Exclusions

Excluded from this classification are the following types of positions:

1. Positions which do not meet the statutory definition of management and/or supervisor, as defined in 111.81(13) and (19), Wis. Stats.
2. Positions which, for a majority of the time, are involved in the enforcement of environmental quality laws and are more appropriately classified as Environmental Enforcement Specialists.
3. Positions which, for a majority of the time, provide for the intake, mediation analysis, investigation, resolution and coordination of complaints as part of a consumer protection program and are more appropriately classified as Consumer Protection Investigator.

4. Positions which, for a majority of time, work in the areas of compliance and/or enforcement in the regulation of service providers, products, or activities and are more appropriately classified as Regulatory Specialist.
5. All other positions which are more appropriately identified by other classification specifications.

D. Entrance Into This Classification

Employees enter positions within this classification by competition.

II. DEFINITION

This is professional management and/or supervisory work related to a division or bureau-wide compliance program(s). Duties and responsibilities assigned to positions allocated to this classification include, but are not limited to: formulate, determine, implement and evaluate compliance and/or enforcement policies, plans, and procedures for regulatory program(s); evaluate cases for referral (e.g., for enforcement action, to agency legal, for prosecution by the Department of Justice, etc.); and coordinate enforcement actions with managers, department legal counsel, the State Department of Justice, other state and/or federal agencies, district attorney offices, and local law enforcement entities. Positions may assist with investigation of large, complex or problematic cases.

Positions may also manage division or bureau training and program evaluation activities for assigned program areas, with an emphasis on compliance, enforcement activities, or regulation and/or oversee other regulatory program areas related to: inspection, credentialing certification and/or registration, but not for a majority of the time.

The work is performed under general supervision.

Representative positions:

DATCP – Division of Animal Health: Position is responsible for developing, implementing, and evaluating the Division's compliance and enforcement policies, procedures, evaluating cases and investigations for referral for enforcement. Position monitors field inspection activities in an effort to gain voluntary compliance from owners, dealers, etc. with animal health rules, referring cases to compliance field staff when warranted. The position develops and provides various compliance and technical training to field staff and serves as a primary resource regarding program compliance activities, division laws, etc. The position also serves as a division liaison with the DATCP Office of Legal Counsel, external investigative and enforcement entities (e.g., Department of Justice, USDA Investigative and Enforcement Services), businesses, industry representatives, and consumer groups.

DATCP – Division of Trade & Consumer Protection: This position manages and coordinates statewide bureau activities related to compliance, credentialing, and the related program evaluation. This includes implementation of effective regulatory compliance and enforcement plans, procedures, and goals; managing the prosecution referral process and enforcement actions (e.g., warning letters, assurances of compliance, civil forfeitures, etc.); and overseeing training

activities and information. These activities require the position to work with DATCP program staff and managers, industry partners, other government agencies, and local offices. In addition, the position is responsible for the statewide storage tank certification and A/B/C underground storage tank system operator training and certification.

III. QUALIFICATIONS

The qualifications required for these positions will be determined at the time of recruitment. Such determinations will be made based on an analysis of the goals and worker activities performed, and by an identification of the education, training, work, or other life experiences which would provide reasonable assurance that the knowledge and skills required upon appointment have been acquired.

IV. ADMINISTRATIVE INFORMATION

This classification was created to describe positions located at the Department of Agriculture, Trade and Consumer Protection which are responsible for a divisional compliance and enforcement program. This classification was created effective November 8, 1998, and was announced in Bulletin CC/SC-94.

This classification specification was modified to update the description of work assignments due to changes over time as well as to allow for placement of a position at the Bureau level and remove DATCP as the only agency able to use this classification specification. This modification to the specification was effective July 12, 2015 and announced in Bulletin OSER-0399-CC/SC.

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