Compliance Analyst

CLASS TITLE	CLASS CODE	SALARY GROUP	SALARY RANGE
COMPLIANCE ANALYST I	1400	B19	$48,244 - $76,028
COMPLIANCE ANALYST II	1401	B21	$54,278 - $87,046
COMPLIANCE ANALYST III	1402	B23	$61,184 - $99,658
COMPLIANCE ANALYST IV	1403	B25	$69,572 - $114,099

GENERAL DESCRIPTION

Performs compliance analysis involving examining, evaluating, and monitoring records, programs, policies, documents, and/or contracts to ensure conformity with laws, rules, and regulations; and conducting inspection and analysis activities.

EXAMPLES OF WORK PERFORMED

Performs routine compliance reviews that are primarily small or medium in scale to determine compliance with laws, rules, and regulations.

Compiles, reviews, and analyzes data to verify documentation.

Conducts internal inspection of compliance issues.

Identifies issues regarding compliance with regulations or standards that require follow-up.

Verifies compliance with specific requirements by conducting desk and/or onsite reviews.

Maintains, updates, and assesses data in an internal tracking system.

Maintains and assesses documentation of compliance activities, such as complaints received or investigation outcomes.

Performs statistical sampling of data.

Performs related work as assigned.

DESCRIPTION OF LEVELS

Examples of work and descriptions are meant to progress through the levels. For example, an employee at level IV may also perform work listed within the previous levels.

***Note**: Factors that may distinguish between journey and senior-levels include the degree of independence in performing the work, the nature and complexity of the work, the scope of responsibility, and the employee's related experience, education, and certifications. Other factors may include the type and scope of the assigned project(s) and/or compliance analyses*

performed. Employees at the journey-levels may independently perform the full range of work listed in the examples or may assist others in that work.

COMPLIANCE ANALYST I: Performs entry-level to routine (journey-level) compliance analysis work. Works under moderate supervision, with limited latitude for the use of initiative and independent judgment. Employees at this level may rely on direction from others to solve problems that are not standard. Employees may also occasionally assist others in performing work of greater complexity.

COMPLIANCE ANALYST II: Performs complex (journey-level) compliance analysis work. Works under general supervision, with moderate latitude for the use of initiative and independent judgment. Employees at this level routinely assist others in performing work of greater complexity, provide guidance to others, and may prepare and present written and/or oral reports on compliance issues for agency management and other staff.

Note: *Any senior-level employee (levels III-IV) may serve as a team lead or supervisor. A senior-level employee may perform the full range of work identified in the levels preceding their own and/or may oversee or coordinate that work for others. Factors that may distinguish between senior levels include the scope of responsibility, oversight, and authority; the type, scope, nature, complexity, and impact of the work performed; and the employee's related experience, education, and certifications.*

COMPLIANCE ANALYST III: Performs highly complex (senior-level) compliance analysis work. Works under limited supervision, with considerable latitude for the use of initiative and independent judgment. Employees at this level may:

- Review contracts, grants, and other legal documents.
- Perform compliance reviews that are primarily highly complex in nature or large in scale and/or oversees others who perform compliance reviews, including coordinating assignments and monitoring activities.

COMPLIANCE ANALYST IV: Performs highly advanced and/or supervisory (senior-level) compliance analysis work. Works under minimal supervision, with extensive latitude for the use of initiative and independent judgment. Employees at this level may provide input into the development and revision of policies, procedures, and rules.

GENERAL QUALIFICATION GUIDELINES

EXPERIENCE AND EDUCATION

Experience in research, compliance analysis or monitoring, legal analysis, and/or auditing work. Graduation from an accredited four-year college or university with major coursework in business administration, public administration, finance, accounting, computer science, statistical analysis, mathematics, research methodology, or a related field is generally preferred. Experience and education may be substituted for one another.

For all levels

KNOWLEDGE, SKILLS, AND ABILITIES

- Knowledge of the relevant federal and state rules and regulations; contract monitoring; and statistical concepts, methods, and models.

- Skill in conducting data searches and evaluating large amounts of data, in customer service, in preparing concise and accurate reports, and in the use of a computer and applicable software.

- Ability to identify problems, evaluate alternatives, and implement effective solutions; to maintain effective working relationships; and to communicate effectively.

Additional for Compliance Analyst II – IV levels

- Skill in preparing recommendations.

Additional for Compliance Analyst III – IV levels

- Ability to oversee and/or supervise the work of others.