

Compliance Officer (Investigator)

TITLE: Compliance Officer/Investigator

REPORTS TO: Superintendent/Staff Attorney

SUPERVISES: 504 Coordinator

JOB FUNCTION: Serves as District Compliance Officer/Investigator. Conducts investigations, develops and ensures implementation of corrective actions; assists with administration of compliance with local, federal and state regulations; develops and conducts trainings on compliance.

DUTIES AND RESPONSIBILITIES:

- Conducts impartial investigations of incidents, in close collaboration with Legal Counsel and other senior level staff.
- Receives confidential questions/concerns from employees, students and community concerning compliance situations; investigates questions/concerns received by email, voice-mail, drop-ins, fraud hotline, etc. to determine specifics and provide recommendations for resolution or refer concern to appropriate individual(s) for follow up.
- Responds to reports of incidents alleging discrimination, harassment, or retaliation in a prompt and thorough manner, and when necessary conducts investigations; maintains clear communication with all involved parties.
- Plans and conducts confidential investigations of incidents and complaints; identifies and conducts interviews with all involved parties, gathers and secures relevant documentation; analyzes data, compares incident reports to legal standards and policies, and develops recommendations to address and resolve issues.
- Provides a detailed report summarizing the investigation, or findings of the investigation, in accordance with district policy, and when applicable, local, state and federal rules and regulations.
- Consults with district personnel on creating and maintaining an equal opportunity environment and the interpretation and consistent application of local, state, and federal rules, regulations and policies.

DUTIES AND RESPONSIBILITIES (CONT.)

- Works collaboratively with Human Resources and other departments for appropriate follow-up after report summaries and findings of investigation(s) are completed to document corrective action and resolution.
- Assists schools with incidents and investigations regarding bullying.
- Assists in research and development materials for trainings related to all aspects of compliance; identifies training needs and implements broad-based and customized training across all levels of employees and students on compliance topics.
- Plans and conducts compliance monitoring reviews; verifies documentation to support certified monitoring plans where applicable; develops recommendations for corrective action based on findings.
- Follows up on reviews to verify that corrective actions have been implemented.
- Analyzes existing policies, identifies gaps and recommends new/revised policies, procedures and approval processes.
- Performs various administrative functions: processes transactional information; performs data entry and record updates for employee tracking, records maintenance and database management.
- Prepares correspondence and memorandums; maintains files, forms, documentation and information in accordance with policies and procedures; performs special projects as directed, and prepares reports as required.
- Promotes the District's goals and priorities in compliance with all policies and procedures.
- Reviews contracts for compliance with district requirements.
- Performs other duties as assigned.
- Maintains regular attendance.

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KNOWLEDGE AND ABILITIES:

KNOWLEDGE OF:

- State and Federal laws, statutes, rules, codes and regulations governing student rights, employment, civil and human rights functions, including U.S. Equal Employment Opportunity Commission (EEOC), Americans with Disability Act (ADA), Section 504 of the Rehabilitation Act, Titles VI and VII of the Civil Rights Act, Title IX of the Education Amendments of 1972, Age Discrimination in Employment Act of 1967 (ADEA).
- Principals and techniques of developing and delivering effective training programs
- Practices and procedures of state and federal regulatory agencies
- Principles of confidential records and file management
- Analytical skills and creative problem solving in working with a variety of individuals from various socio-economic, ethnic, and cultural backgrounds, in person and over the phone, often where relations may be confrontational or strained.
- Techniques for conducting effective investigations and confidential interviews
- Management and leadership qualities
- Interpersonal skills using diplomacy, tact, patience, and courtesy
- Kentucky Education Reform Act of 1990
- District organization and objectives
- Federal and state law, and district policy and administrative procedures

ABILITY TO:

- Conduct confidential investigations and interviews; research, collect and analyze data, and prepare well-documented reports
- Provide guidance, consult with staff, and resolve problems on internal compliance
- Understand and apply the principles, concepts, procedures, laws and rules governing the operations of a diversity program in public education
- Communicate and interact effectively with individuals and groups of diverse economic, racial and ethnic backgrounds
- Establish and maintain effective working relationships with coworkers, community leaders, government agency representatives and the public
- Organize and effectively manage a high volume of work
- Oversee a number of time-sensitive projects
- Perform legal research and apply law to facts presented
- Effectively communicate orally and in writing
- Learn and utilize general investigative and interview techniques
- Display proficiency in Word, Excel, and other specialized software
- Listen
- Budget and use time efficiently
- Develop and utilize problem-solving techniques
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PHYSICAL DEMANDS:

- Work is performed while standing, sitting and/or walking.
- Requires the ability to communicate effectively using speech, vision and hearing.
- Requires the use of hands for simple grasping and fine manipulations.
- Requires bending, squatting, crawling, climbing, reaching.
- Requires the ability to lift, carry, push or pull light weights, up to 30 pounds.

EDUCATION AND EXPERIENCE:

- Bachelor's Degree in any field.
- Related professional or administrative experience
- Juris Doctorate from an accredited school of law; AND two(2) years of legal research and investigation experience; OR an equivalent combination of education/training/experience, as determined by Human Resources (preferred)

LICENSES AND OTHER REQUIREMENTS:

- None

Original Date: 05/2003

Revision Date: 12/2005

Revision Date: 05/2009

Revision Date: 07/2011

Revision Date: 06/2015

Revision Date: 07/2015