POSITION DESCRIPTION
Regulatory Specialist Senior – Bureau of Consumer Protection
Division of Trade & Consumer Protection
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POSITION SUMMARY

Under general supervision of the Mediation & Enforcement Section Chief, this position participates in the development, analysis and evaluation of the statewide compliance and enforcement programs in the Bureau of Consumer Protection. The position recommends strategies for advancing the bureau’s enforcement and compliance efforts; and conducts analysis of complaint data, potential developments in consumer protection investigation and enforcement strategies, and impacts of enacted legislation. The position coordinates policies with federal, state and local agencies.

This position provides significant regulatory and compliance support to the Investigation Unit. This includes serving as a technical expert and resource to staff on investigative methods and procedures, as well as utilization of comprehensive investigative skills to complete major or problematic cases. The position has specific duties related to cases involving the bureau’s security program, and laws governing telemarketing and WI’s Do Not Call registry.

This position is responsible for the development and delivery of staff training with an emphasis on compliance and enforcement. The position also serves as a regulatory liaison with other state or federal authorities (e.g., the Federal Trade Commission).

GOALS & WORKER ACTIVITIES

40%  **Goal A:** Serve as a technical expert and resource in the administration of consumer protection regulatory compliance programs (e.g., investigation, complaint mediation, etc.): specifically the security program, and laws governing telemarketing and WI's Do Not Call registry.

A.1 In consultation with the section chief and unit supervisor, provide technical guidance to the Investigation and Mediation Unit investigators in the application and interpretation of compliance and enforcement policies and procedures, the interpretation of pertinent statutes, and administrative rules.

A.2 Develop, direct and provide instruction on: investigative techniques and procedures, report writing, case compilation, evidence documentation, etc.

A.3 In the absence of the section chief, review investigator case plans and progress; provide technical feedback and guidance on best approach, witness identification, legal issues, etc.

A.4 Assist investigators in planning and carrying out compliance actions.

A.5 Serve as lead investigator on major, large scale, problematic cases. Coordinate the activities of investigators. Compile, analyze, and evaluate all information gathered. Responsible for providing technical input on work product, including any summary investigative reports.

A.6 Review draft and final investigative reports for accuracy, completeness and merit prior to forwarding to the section chief to obtain final approval from the Office of Legal Counsel, Bureau Director, and Division Administrator for prosecution referral.

A.7 Serve as the Investigation Unit liaison with the department's Office of Legal Counsel in submitting Summary Investigative Reports, Civil Investigative Demands, Special
Orders, Stipulations, etc. for review and action. NOTE: The emphasis is on reviewing
draft documents for case compliance with legal standards as well as providing
technical advice to staff before final submission to the section chief.

A.8 In cooperation with the Mediation Unit supervisor, set up and participate in
compliance conferences in an effort to bring complaints to resolution and businesses
into compliance.

A.9 Monitor and assure uniformity and completeness of information entered into the
division's database system to track the status, progress and outcome of bureau
compliance cases.

A.10 Perform other duties as assigned.

35% **Goal B:** Participate in the development, analysis, and evaluation of bureau-wide
compliance policies, procedures and productivity standards.

B.1 Assess current inspection and investigation compliance policies/procedures as well
as productivity standards and implementation plans established by management and
program area regulatory staff. This may include collecting input from staff.

B.2 Assess complaint mediation and consumer information practices and standards.

B.3 Research best practices for bureau program areas and activities, report writing,
enforcement/compliance steps, etc.; evaluate findings against internal program
operations.

B.4 Recommend to management program changes or areas needing improvement
following review of complaint data and performing compliance analyses, in order to
promote consistency in both work product by staff and management evaluation.
Assist with implementation as requested.

B.5 Complete evaluations of individual laws and recommend additions, modifications,
etc. to compliance documents or manuals. Coordinate and/or provide necessary
technical training to staff.

B.6 Assist the section’s supervisors in managing effective regulatory compliance and
enforcement plans, procedures, or resource allocation to assure timely response.

B.7 Monitor compliance and enforcement issues, which may need policy, procedural, rule
or legislative adjustment. Make recommendations to promote necessary changes.

B.8 Compile and evaluate program data (e.g., compliance rates, # of cases assigned
to/completed by staff, workload analyses, case trends, etc.) to assist management in
organizing program direction, work flow to ensure productivity, funding, and to
ensure compliance goals are met.

20% **Goal C:** Serve as the bureau regulatory liaison, including significant time coordinating
compliance and enforcement training for consumer protection investigators and
maintaining bureau database(s).
C.1 Assist management in assessing program and staff training needs, including case trends or industry compliance issues; develop and/or coordinate training plans, programs and materials.

C.2 Coordinate or develop compliance and enforcement training materials, courses, and seminars.

C.3 Conduct training seminars for staff or research training alternatives (e.g., use of vendors, department job experts, state/federal manuals, etc.).

C.4 Develop and implement an evaluation process for training sessions; monitor staff application of compliance/enforcement training tools and techniques, providing feedback to management.

C.5 Consult with other state and federal authorities to facilitate effective operation of the bureau’s regulatory or compliance responsibilities (e.g., Department of Justice, etc.).

C.6 Consult and work jointly with other agencies, organizations, the university, and others to collect information and prepare reports on issues related to investigation and enforcement strategy for consumer protection.

C.7 Update and maintain coding and data sets in the bureau’s database system so they accurately reflect the needs of staff and current laws.

C.8 Coordinate and maintain the operation of other compliance related data systems (e.g. No Call Match system) used by the bureau to execute compliance actions.

C.9 Perform other related duties as assigned.

5% Goal D: Coordination and analysis of activities related to enacted legislation, rules, etc.

D.1 Analyze bureau compliance and enforcement procedures, statutes, etc., assessing the impact of revisions or changes. Assist in drafting or preparing language changes.

D.2 Monitor federal, state, and/or local statutory or rule-making actions related to bureau programs. Review and consult with program managers as applicable.

D.3 Identify industry or regulatory trends that affect program regulations.

KNOWLEDGE AND SKILLS REQUIRED

A. Extensive knowledge of the Wisconsin Statutes and administrative rules governing consumer protection.

B. Extensive written and verbal communication skills: effective report writing, proof-reading, and editing skills, as well as the ability to synthesize complex information.

C. Extensive knowledge of negotiating skills needed in controversial and hostile situations.

D. Substantial knowledge of division, department, state, federal, and other state consumer protection activities.
E. Extensive knowledge of investigative processes and techniques, report writing, and prosecution of offenses. This includes knowledge of progressive enforcement procedures.

F. Substantial ability to teach investigative processes and techniques, report writing, and prosecution of offenses. This requires knowledge of, and ability to apply, effective training methods and tools.

G. Working knowledge of the methods used to analyze and evaluate data for the purposes of regulatory and policy decision-making.

H. Knowledge of program and policy development, implementation, and evaluation; this includes the ability to apply in the work setting.

I. Ability to plan, organize and oversee the work of others.

J. Considerable knowledge of state and federal agencies and organizations concerned with consumer protection issues.

K. Ability to establish and maintain effective working relationships with fellow employees, other agency officials, business organizations, and the general public; as well as substantial ability to communicate effectively with a wide variety of people and organizations under varying circumstances, including confrontational and adverse situations.

SPECIAL REQUIREMENTS

1) Occasional travel is required; and
2) Possession of a valid Wisconsin driver license, including personal automobile insurance or the ability to provide one’s own transportation. Note: mileage compensation is paid to employees approved for use of personal motor vehicle for official work duties.