



STATE OF OREGON
POSITION DESCRIPTION

Position Revised Date:
4/2026

This position is:

- Classified
Unclassified
Executive Service
Mgmt. Svc – Supervisory
Mgmt. Svc – Managerial
Mgmt. Svc - Confidential

Agency: Department of Early Learning and Care

Facility: Programs Division – DELC

New Revised

SECTION 1. POSITION INFORMATION

a. Classification Title: Compliance and Regulatory Manager 2
b. Classification No: 7144
c. Working Title: Grant-in-Aid Compliance Manager
d. PPDB No/WD ID: TBD/000000183730
e. Section Title: Programs Division – DELC
f. Agency No: 58800
g. Employee Name: (Vacant – New Position)
h. Budget Auth No:
i. Supervisor Name: Joel Metlen
j. Repr. Code: MMS
k. Work Location (City – County): Salem – Marion County (hybrid eligible)

l. Position: Permanent Full-Time Seasonal Part-Time Limited Duration Intermittent Academic Year Job Share
m. FLSA: Exempt Non-Exempt If Exempt: Executive/Supervisory Administrative Professional Computer
n. Eligible for Overtime: Yes No

SECTION 2. PROGRAM AND POSITION INFORMATION

a. Describe the program in which this position exists. Include program purpose, who's affected, size, and scope. Include relationship to agency mission.

The Department of Early Learning and Care (DELC) is a new Oregon state agency that supports the development and well-being of all Oregon children and ensures families in every corner of the state have access to high-quality early learning and care. DELC also supports child care professionals by providing technical assistance, professional development opportunities, business services, licensing, grants and other resources. DELC was created by the Oregon Legislature in 2021 to unify and strengthen Oregon's early learning system. On July 1, 2023, DELC was established, bringing together the Oregon Early Learning Division (from the Department of Education) and the Employment Related Day Care (ERDC) program (from the Department of Human Services).

The mission of the Oregon Department of Early Learning and Care (DELC) is to foster coordinated, culturally appropriate and family-centered services that recognize and respect the needs of all children,

families and early learning and care professionals. Our vision is that children, families, early care and education professionals and communities are supported and empowered to thrive.

DELC administers 17 publicly funded grant-in-aid (GIA) programs — including Every Child Belongs, Preschool Promise, Oregon Prenatal to Kindergarten, Relief Nursery, and ERDC — investing \$1.3 billion of state and federal dollars biannually through grants and subsidies to community-based organizations, Tribes, school districts, and other providers statewide. This position will build the foundational compliance infrastructure for all 17 GIA programs, then be dedicated to monitoring compliance for the Grant-in-Aid programs.

b. Describe the primary purpose of this position, and how it functions within this program. Complete this statement. The primary purpose of this position is to:

The primary purpose of this position is to design, build, and lead DELC’s Grant-in-Aid Compliance Unit — a new, structurally independent oversight function responsible for monitoring, investigating, and enforcing compliance across all of DELC’s publicly funded grant programs. This position will establish and manage the policies, procedures, systems, tools, and staffing structure necessary to conduct risk-based desk monitoring, on-site reviews, and fiscal and programmatic investigations for GIA programs.

This position is organizationally independent from the Programs Division and Grants Administration — reporting directly to the Deputy Director of Programs. This unit is charged with monitoring and investigating all DELC grant programs. The unit will maintain collaborative working relationships with Programs, Grants, Fiscal, the Child Care Licensing Division, and the Oregon Department of Human Services through a cross-divisional and cross-agency governance structure, while retaining full independence in oversight and investigative functions.

The position will develop and manage the agency’s corrective action, payment recovery, and legal referral frameworks; design automated and manual monitoring systems integrated with the agency’s customer service and case management infrastructure; assess what statutory authority may be required for enforcement functions.

SECTION 3. DESCRIPTION OF DUTIES

List the major duties of the position. State the percentage of time for each duty. Mark “N” for new duties, “R” for revised duties or “NC” for no change in duties. Indicate whether the duty is an “Essential” (E) or “Non-Essential” (NE) function.

% of Time	N/R/NC	E/NE	DUTIES
30%	N	E	<p>Compliance Unit Design and Infrastructure Development</p> <p>Designs, develops, documents, and manages the foundational structure of DELC’s Grant-in-Aid Compliance Unit. Work originates from the internal audit recommendation and Director-level direction. Completed frameworks and policies are distributed to Programs, Grants, and Fiscal staff for implementation.</p> <p>Establishes the compliance framework, risk-based monitoring methodology, investigation protocols, corrective action processes, and payment recovery procedures, aligned with GAO Green Book principles, OAM 10.10 internal control requirements, and applicable state and federal grant regulations. Develops and maintains the unit’s policy manual, standard forms, and standard operating procedures.</p> <p>Designs and implements both automated and manual monitoring processes, working with DELC’s IT and data systems staff to ensure the agency’s customer service and case management systems route grantee complaints and compliance concerns directly to the Compliance Unit. Builds the checks-and-balances systems that provide oversight across DELC’s full grant portfolio.</p> <p>Identifies what enforcement steps apply at each stage — desk review, corrective action plan, payment recovery, legal referral — and designs the unit’s workflow accordingly.</p>

			<p>Identifies what statutory authority, if any, is required to support full enforcement functions and communicates findings to the Director and Legal team.</p> <p>At times, performs lower-level administrative work such as drafting template correspondence, maintaining the unit's SharePoint workspace, and organizing case files during the unit stand-up phase before full staffing is in place.</p>
25%	N	E	<p>Grant-in-Aid Monitoring and Compliance Oversight</p> <p>Conducts ongoing, risk-based desk monitoring of all 17 DELC grant-in-aid programs by reviewing grantee financial records, expenditure reports, service delivery data, and program performance reports received from Program and Grants staff. Applies a risk prioritization framework to determine which grantees and programs receive enhanced monitoring. Work product — desk review reports, monitoring summaries, and risk assessments — is transmitted to grantees, program managers, and the Director.</p> <p>Conducts or coordinates on-site compliance reviews of grantees by traveling to provider locations, reviewing records and program operations in person, and producing written findings reports documenting compliance status and any required corrective actions. Grantees subject to monitoring may or may not hold a child care license; this position applies program-specific grant terms and applicable state and federal law as the basis for monitoring.</p> <p>Tracks implementation of corrective action plans by maintaining a case tracking log and following up with grantees and program staff at defined intervals to verify required corrections have been made. Produces quarterly and annual compliance reports for agency leadership and, as required, for federal oversight bodies or the Oregon Legislature.</p> <p>Also performs lower-level work such as reviewing routine grantee progress reports for completeness, logging incoming monitoring submissions, and maintaining the unit's monitoring schedule.</p>
20%	N	E	<p>Investigations, Corrective Action, and Enforcement</p> <p>Receives, reviews, and prioritizes allegations of grantee fraud, waste, misuse of funds, or programmatic noncompliance from multiple sources: referrals from Program staff, Grants Administration, Fiscal, ODHS Program Integrity, the public, or DELC's customer service system. Conducts or supervises investigations by gathering financial records, contracts, invoices, service logs, and witness interviews; analyzing evidence against applicable grant requirements and state/federal law; and documenting all steps taken and findings reached.</p> <p>Issues investigation findings to grantees in writing, specifying the nature of noncompliance, the required corrective action or repayment amount, and the timeline for response. Coordinates with the DELC Legal team for cases requiring formal legal action, contested case hearings, or referral to the Oregon Department of Justice. May act as lay representative for the agency in administrative contested case proceedings.</p> <p>Coordinates investigations and referrals with ODHS Program Integrity offices, the DELC Civil Rights Division, and the Child Care Licensing and Investigations Unit as applicable. Manages payment recovery actions by documenting the basis for recovery, issuing repayment demands, and tracking repayment status. Maintains complete case files for all investigations from intake through final resolution.</p>
10%	N	E	<p>Strategic Planning, Budget Development, and Legislative Preparation</p> <p>Develops budget requests for permanent establishment and growth of the Grant-in-Aid Compliance Unit. Identifies federal funding mechanisms (e.g., CCDF carve-off) and other strategies to fund the unit. All budget requests must be budget-neutral or funded through identified federal revenue sources; documents funding strategies and presents them to the Director and DELC budget staff for inclusion in agency budget requests.</p> <p>Assesses what statutory authority, if any, is required to give the unit full enforcement capability and develops the corresponding Legislative Concept (LC) and Policy Option Package (POP). Serves as the agency's subject matter expert and primary author for compliance-related budget and legislative materials, working with the Director, Legislative Affairs staff, and DAS Budget and Management analysts.</p> <p>Advises agency leadership on the organizational structure and staffing needed to achieve DELC's long-term vision: a single unified compliance function covering both</p>

			grant-in-aid and licensing programs. Develops short- and long-range implementation plans that reflect practical near-term needs while pointing toward that ideal state.
10%	N	E	<p>Interagency Coordination and Partner Engagement</p> <p>Serves as DELC's primary point of contact on grant-in-aid compliance matters with ODHS Program Integrity, the Oregon Department of Education, federal program offices, and other state and local partners. Contacts occur by meeting, email, and written correspondence on an ongoing basis throughout the year.</p> <p>Coordinates with Program staff, Grants, Fiscal, the Auditor, and Legal to ensure shared understanding of compliance standards and corrective action expectations — while maintaining strict organizational independence from those divisions in all oversight and investigative activities.</p> <p>Represents DELC on compliance-related workgroups. Participates in the cross-divisional Compliance and Program Integrity steering committee (including Programmatic, Grants, and Fiscal leaders). Provides technical assistance to grantees to support compliance, clearly distinguishing this function from the unit's enforcement authority.</p> <p>Develops training materials and delivers presentations to grantee staff, Program staff, and Grants Administration staff on compliance expectations and corrective action processes.</p>
5%	N	E	<p>Staff Supervision and Unit Management</p> <p>Recruits, hires, trains, and supervises the Grant-in-Aid Compliance Unit team (anticipated: 3–4 FTEs, including compliance analysts and a data/reporting specialist). Assigns work, monitors workflow, reviews and approves work products including monitoring reports, investigation findings, and corrective action plans. Conducts performance evaluations and supports staff professional development. Builds a team culture grounded in independence, rigor, fairness, and public service.</p> <p>During the limited-duration stand-up phase, this position performs both higher-level management work — establishing the unit's structure and protocols — and analyst-level monitoring and investigation work until the team is built out. This dual scope is expected to shift toward supervision and management as staffing is filled.</p>
AT ALL TIMES			<p>AT ALL TIMES - Commitment to Equity</p> <p>Equity Lens: Designs and/or asks sets of questions to identify and eliminate disparate results-outputs, outcomes, impacts- of policies, programs, and practices for underserved/under-represented community members*</p> <p>Equitable Workplace: Demonstrates cultural consciousness, commitment, and behavior, to improving an inclusive workplace climate for everyone.</p> <p>Equitable Results: Produces results, i.e., outputs, outcomes, or impacts from programs and decisions toward closing disparities for under-represented community members* and improving results for everyone.</p> <p>-----</p> <p>* <i>Underserved/Under-represented community members: e.g., people of color; people with disabilities; LGBTQ+, etc.; and new immigrant populations.</i></p>

SECTION 4. WORKING CONDITIONS

Describe any on-going working conditions. Include any physical, sensory, and environmental demands. State the frequency of exposure to these conditions.

This position works primarily in an office environment with regular hybrid/remote work. Requires periodic in-state travel to conduct on-site grantee reviews and attend interagency meetings. Work may involve

managing high-stakes investigations, meeting regulatory or legal deadlines, and navigating sensitive situations involving potential fraud or misuse of public funds.

The position involves sustained periods of concentrated analytical work: reviewing financial records, reading legal and regulatory documents, and writing detailed reports and investigation findings. Interactions with grantees during investigations may involve adversarial or stressful circumstances requiring professional composure.

SECTION 5. GUIDELINES

a. List any established guidelines used in this position, such as state or federal laws or regulations, policies, manuals, or desk procedures.

- Oregon Revised Statutes (ORS) governing DELC programs, grant administration, contested case hearings, and public contracting
- Oregon Administrative Rules (OAR) for DELC programs and applicable child care licensing rules
- Oregon Accounting Manual (OAM) 10.10 — Internal Control requirements for state agencies
- U.S. Government Accountability Office Green Book (Standards for Internal Control in the Federal Government)
- 2 CFR Part 200 (Uniform Guidance for Federal Awards) and applicable federal program-specific regulations (e.g., CCDF, Head Start Act, IDEA)
- DELC grant agreements, program-specific grant terms and conditions, and grantee manuals
- DELC agency policies and administrative procedures
- ODHS Program Integrity policies and procedures (for coordination during ERDC transition)
- Oregon Department of Justice legal guidance and contested case hearing procedures (ORS Chapter 183)
- Oregon HR policy and management service rules governing supervised staff

b. How are these guidelines used?

This position uses these guidelines independently and with professional judgment to: determine the legal basis for monitoring and investigation activities; assess whether grantee conduct constitutes noncompliance, fraud, or waste; structure corrective action plans and payment recovery demands with appropriate legal grounding; develop agency policy consistent with state and federal requirements; and advise agency leadership on compliance risk. Many compliance situations are not directly addressed by a single guideline; this position must analyze and apply multiple overlapping authorities and exercise independent judgment about their application to specific facts and circumstances.

SECTION 6. WORK CONTACTS

With whom, outside of co-workers in this work unit, must the employee in this position regularly come in contact?

Who Contacted	How	Purpose	How Often?
<i>Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".</i>			
DELC Director (Alyssa Chatterjee)	In person, email	Report compliance findings, risks, and unit status; receive direction on priorities and strategic decisions	Weekly / as needed
Program Directors, Managers and Staff	Meeting, email, written	Coordinate monitoring activities, share findings, implement corrective actions, receive program-specific context for investigations	Regularly (weekly to monthly)

Grants Administration staff	Meeting, email	Coordinate payment holds, grant close-out compliance reviews, and cross-program fiscal monitoring	Regularly
Secretary of State Audits Division / Agency Auditor	Meeting, written	Coordinate on audit findings, share compliance unit activities and risk assessments, respond to audit recommendations	As scheduled / as needed
DELC Legal / General Counsel	Meeting, written	Seek legal guidance on enforcement actions, contested cases, and statutory authority; coordinate legal referrals	As needed / for investigations
DELC Fiscal staff	Email, meeting	Coordinate payment recovery, verify expenditure data, confirm fund source eligibility for monitoring work	Regularly
DELC Child Care Licensing and Investigations Unit	Meeting, referral	Coordinate referrals when GIA compliance findings intersect with licensing matters; share risk information	As needed
Grantees (CBOs, Tribes, school districts, providers)	Written, in person, phone	Conduct monitoring reviews, issue corrective action plans, provide technical assistance, communicate enforcement actions	Ongoing throughout year
ODHS Program Integrity Office	Meeting, written referral	Coordinate investigations involving shared programs (ERDC); make and receive referrals for fraud and misuse cases	Monthly / as needed
Federal program offices (e.g., OCC, ACF, DOE)	Written, meeting	Respond to federal monitoring requests, report corrective action status, coordinate on federally funded program compliance	Per federal schedule
DELC Budget and Management, HRSD	Meeting, written	Develop budget requests, position descriptions, and Policy Option Packages for the compliance unit	During budget development cycles

SECTION 7. POSITION RELATED DECISION MAKING

Describe the typical decisions of this position. Explain the direct effect of these decisions.

This position makes a wide range of consequential decisions, many of which have direct legal and financial effects on grantees and the agency. Key decision areas include:

- Determines which grantees and programs are selected for enhanced or on-site monitoring in a given period, based on the unit's risk prioritization framework. This decision directly affects which compliance risks are surfaced and addressed agency-wide.
- Decides whether a complaint or referral rises to the level of a formal investigation, and determines the scope, method, and timeline of that investigation. This decision affects both the agency's legal exposure and the grantee's rights.
- Determines whether grantee conduct constitutes noncompliance, fraud, or waste, and what corrective action or repayment amount is required. These findings are documented in official agency correspondence and are subject to grantee appeal or contested case proceedings.
- Decides the appropriate enforcement level for each compliance matter: corrective action plan, payment hold, grant suspension, termination, or legal referral. Decisions to escalate to legal referral or grant termination are made in consultation with the Director and Legal but originate with this position.
- Determines how federal grant funds may be used to finance the compliance unit and recommends to the Director which funding strategy to pursue in the agency budget request.
- Decides what statutory authority is needed for the unit and recommends what legislative changes to propose; advises the Director and Legislative Affairs on the content of compliance-related LCs and POPs.

- Makes hiring decisions (in consultation with HR) for compliance unit staff; assigns and approves all work products produced by supervised staff.

Most decisions are made independently within the scope of the position’s authority. Decisions involving legal action, grant termination, or significant budget commitments are made in consultation with and subject to approval by the Director.

SECTION 8. REVIEW OF WORK

Who reviews the work of the position?

Classification Title	Position Number	How	How Often	Purpose of Review
Deputy Director of Programs (business Operations Administrator 2)	1715013/00000015 8115	Review of compliance reports, investigation findings, budget materials, and legislative drafts; periodic 1:1 meetings	Ongoing; formal review upon completion of major work products	Ensure alignment with agency priorities; approve significant enforcement actions and budget requests

Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit “Enter”.

SECTION 9. OVERSIGHT FUNCTIONS

THIS SECTION IS FOR SUPERVISORY POSITIONS ONLY

- a. How many employees are directly supervised by this position? 3-4 FTE
 How many employees are supervised through a subordinate supervisor? 0
- b. Which of the following activities does this position do?
- | | |
|---|---|
| <input checked="" type="checkbox"/> Plan work | <input checked="" type="checkbox"/> Coordinates schedules |
| <input checked="" type="checkbox"/> Assigns work | <input checked="" type="checkbox"/> Hires and discharges |
| <input checked="" type="checkbox"/> Approves work | <input checked="" type="checkbox"/> Recommends hiring |
| <input checked="" type="checkbox"/> Responds to grievances | <input checked="" type="checkbox"/> Gives input for performance evaluations |
| <input checked="" type="checkbox"/> Disciplines and rewards | <input checked="" type="checkbox"/> Prepares & signs performance evaluation |

SECTION 10. ADDITIONAL POSITION-RELATED INFORMATION

ADDITIONAL REQUIREMENTS: List any knowledge and skills needed at time of hire that are not already required in the classification specification:

As a condition of employment, the individual in this position will be subject to both Child Protective Services and Criminal History checks, including FBI fingerprinting, and will be required to be enrolled in the Central Background Registry. Adverse background data may be grounds for immediate disqualification.

All positions within DELC require employees to serve as a “mandatory reporter” of child abuse.

A valid driver’s license and a satisfactory driving record, or the ability to provide a satisfactory alternate mode of transportation is required.

As a Management Service position, the following Affirmative Action / Diversity Responsibilities are inherent to this position:

- Review and follow Affirmative Action plan strategies.
- Consider affirmative action goals in hire, transfer, promotion, and selection decisions.
- Hold employees accountable to demonstrating respectful workplace behaviors.
- Include information in employees Performance, Accountability and Feedback (PAF) review that solicits feedback from employees on inclusivity in the workplace.

Requested Skills:

- Experience designing or managing a compliance, audit, monitoring, or program integrity function in a government or nonprofit context.
- Experience managing or supervising a team of highly skilled experts, including hiring, onboarding, professional development, performance evaluation, and progressive discipline.
- Working knowledge of GAO Green Book internal control standards, OAM requirements, or federal Uniform Guidance / 2 CFR Part 200 grant compliance frameworks.
- Experience managing investigations of fraud, waste, or misuse of public funds, including case documentation and referral for legal or administrative action.
- Experience developing corrective action plans and graduated enforcement frameworks.
- Familiarity with Oregon’s early learning, child care, or human services landscape.
- Experience developing Oregon state agency budget requests, Policy Option Packages, or Legislative Concepts.
- Ability to work well across teams and build strong working relationships with internal and external partners.
- Demonstrated ability to work independently and exercise professional judgment in politically sensitive environments, while maintaining credibility as an independent oversight function.
- Strong written communication skills, including the ability to produce clear compliance reports, policy documents, and investigation findings.

BUDGET AUTHORITY: If this position has authority to commit agency operating money, indicate the following:

Operating Area	Biennial Amount (\$00000.00)	Fund Type
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Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

This position has no independent authority to commit agency operating funds. Budget recommendations developed by this position (including budget requests for unit establishment) require Director approval before submission. The position coordinates with DELC Fiscal on expenditure verification and fund source analysis but does not have final expenditure authority.

SECTION 11. ORGANIZATIONAL CHART

Attach a current organizational chart. Be sure the following information is shown on the chart for each position: classification title, classification number, salary range, employee name and position number.

SECTION 12. SIGNATURES

Employee Signature

Date

Supervisor Signature

Date

Appointing Authority Signature

Date