



GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan
Government of Guam
134 W. Soledad Ave., BOH Bldg. Ste. 406
Tel: 671-969-5625 | Telefax: 671-969-5626

PETITION

The Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of the job classification standard of position for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

This petition is made pursuant to 4 GCA §6303(d) which authorizes the creation of position in Autonomous Agencies. This petition is also a public document for the purpose of 5 GCA Chapter 10.

For more information, please visit the Guam Ethics Commission website at <https://www.guamethics.com> under Announcements or you may contact the Commission at (671) 969-5625 or email info@ethics.guam.gov.

Si Yu'os Ma'ase!

Jesse John Quenga
Executive Director



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PETITION

CREATION OF POSITIONS

I. REQUEST / AUTHORITY

4 GCA §15301 established the Guam Ethics Commission as an independent and autonomous commission, and §15407(a) authorizes the Commission to employ such persons necessary for the performance of its functions. Pursuant to 4 GCA §6303(d), the Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of a new professional and technical job series for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

II. JUSTIFICATION

The creation of the Ethics Investigation and Compliance Officer position series is for the efficient and effective performance of duties and functions of the Guam Ethics Commission. The Guam Ethics Commission was established to in Chapter 15, Title 4 Guam Code Annotated, primarily to adjudicate complaints filed against government officials for violating the Ethical Code of Conduct. A review of the CWA 2014 Classification Plan revealed that the no similar position to the Ethics Investigation and Compliance Officers are currently established. These positions are unique and require that candidates maintain a high degree of confidentiality, discretion, and judgment.

The Commission does not currently employ any Ethics Investigation & Compliance Officer, thus limiting the commission's ability to establish a clear and concise path and structure for the professional positions within the agency. The creation of the Ethics Investigation and Compliance Officer series from entry level to chief will allow for the proper staffing and workforce planning which will increase competence, productivity, and efficiency. Currently there is no Senior or Chief position in the Organizational Chart which has led the ranking to go from the existing Ethics Program Coordinator straight to Executive Director, resulting in gaps in responsibility and leadership from one level to the other.

III. ANALYSIS OF SIMILARITIES AND DIFFERENCES BETWEEN THE POSITIONS TO BE

CREATED AND POSITIONS LISTED PURSUANT TO 4 GCA § 4101.1(D).

No similar position currently exists within the Government of Guam, this position series is being created specifically for the Guam Ethics Commission.

IV. PROPOSED JOB STANDARD

See attached.

V. COMPENSATION

Pay evaluation was performed by the Personnel Division of the Department of Administration using the hay methodology. Compensation for each corresponding position and Hay score can be found in the supporting documents.

VI. FISCAL NOTE AS REQUIRED BY 2 GCA §9101 et seq.

The Guam Ethics Commission is responsible for the funding availability for these positions and is in compliance with all applicable laws, rules and regulations regarding the creation, filing and retention of positions in certified, technical, and professional positions.

Si Yu'os Ma'ase!



Jesse John Quenga
Executive Director



**DEPARTMENT OF
ADMINISTRATION**
DIPATTAMENTON ATMENESTRASION
HUMAN RESOURCES DIVISION

(Dibision Inadilanto yan Guinaha Para Taotao)
Telephone (Telifon): (671) 475-1288/1154 • Fax (Faks): (671) 477-3671



LOURDES A. LEON GUERRERO
Governor (Maga'hága)
JOSHUA F. TENORIO
Lt. Governor (Sigundo Maga'Idhi)

January 9, 2023

HRD No.: 22-643

MEMORANDUM

TO: Executive Director, Guam Ethics Commission

VIA: Director, Department of Administration

FROM: Personnel Services Administrator,
Human Resources Division

SUBJECT: Request for Hay Evaluation Assistance
RE: Proposed Creation of Ethics Investigation and Compliance Officer Series


Buenas yan Saluda! This is in response to your request for the Hay Evaluation points and recommended pay grades for your proposed creation of the Ethics Investigation and Compliance Officer position series. We reviewed your proposed position descriptions and recommend the attached draft job standards and hay evaluations for your consideration:

- Ethics Investigation and Compliance Officer I, PG-M (GPP);
- Ethics Investigation and Compliance Officer II, PG-N (GPP);
- Senior Ethics Investigation and Compliance Officer, PG-O (GPP); and
- Chief Ethics Investigation and Compliance Officer, PG-R (GPP).

If you have any questions or concerns, please do not hesitate to contact our Classification and Pay Branch at 671-475-1174/1201/1131. *Si Yu'os Ma'ase!*


SHANE G.L. NGATA

Attachments

<input checked="" type="checkbox"/> CONCURRED

EDWARD M. BIRN, Director Department of Administration
Date: 1/11/23

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER I
(Proposed Creation)**

NATURE OF WORK IN THIS CLASS:

This is professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class perform moderately complex investigations including ethics education and compliance duties independently after initial training, and work under close supervision on a variety of more complex investigative and developmental assignments.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Assists or participates in the investigation of complaints against public officials, validating information contained in a complaint prior to presentation before the Guam Ethics Commission (GEthC).

Maintains proper control and case management of all records to include ethics complaints.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Participates in workshops and presentations on Ethical conduct to various stakeholders; maintains training records and reports as required.

Prepares timely investigative reports and/or case hearing documents; prepares or coordinates case hearing notices or meetings as appropriate.

Staffs GEthC meetings, hearings, conferences and working sessions as directed.

Assists in the preparation of reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Collects and analyzes statistical data and performs research.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of the principles and practices of modern public administration and personnel management.

Knowledge of investigation and compliance best practices.

Knowledge of bookkeeping principles and compilation of statistics.

Ability to learn, interpret, and apply pertinent laws, regulations, and related guidelines.

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER I
(Proposed Creation)**

Ability to maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

MINIMUM EXPERIENCE AND TRAINING:

One (1) year of investigative or auditing work experience or one (1) year of analytical work which involved gathering, evaluating and analyzing facts required to resolve problems/complaints, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: M (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 2	=	200
	PROBLEM SOLVING:	D 3 33%	=	66
	ACCOUNTABILITY:	D 2 C	=	<u>76</u>
	TOTAL POINTS			342

_____, Chairperson
Guam Ethics Commission

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER II
(Proposed Creation)**

NATURE OF WORK IN THIS CLASS:

This is responsible professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class perform complex investigations including ethics education and compliance duties.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Conducts investigations of complaints against public officials, validating information contained in a complaint prior to presentation before the Guam Ethics Commission (GEthC); develops investigative strategy, interviews witnesses, synthesizes testimony and evidence gathered.

Maintains proper control and case management of all records to include ethics complaints.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Conducts workshops and presentations on Ethical conduct to various stakeholders; maintains training records and reports as required.

Prepares timely, thorough, and concise investigative reports; organizes case hearing documents; prepares or coordinates case hearing notices or meetings as appropriate.

Staffs GEthC meetings, hearings, conferences and working sessions as directed.

Participates in the preparation of reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Collects and analyzes statistical data and performs research.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of investigation and compliance best practices.

Knowledge of bookkeeping principles and compilation of statistics.

Knowledge of the principles and practices of modern public administration and personnel management.

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER II
(Proposed Creation)**

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

One (1) year of work experience as an Ethics Investigation and Compliance Officer I or two years of equivalent work experience, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: N (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 2	=	230
	PROBLEM SOLVING:	D 3 33%	=	76
	ACCOUNTABILITY:	D 2 C	=	<u>87</u>
	TOTAL POINTS			393

, Chairperson
Guam Ethics Commission

**SENIOR ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

NATURE OF WORK IN THIS CLASS:

This is supervisory professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class oversee the full range of ethics investigations, education and compliance duties.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Supervises investigations of complaints against public officials; reviews allegations, consults and/or makes referrals of cases to management adhering to established Guam Ethics Commission (GEthC) protocol.

Provides consultation and technical assistance to staff; oversees the proper control and case management of all records to include ethics complaints.

Recommends administrative procedures and guidelines to be followed in the development and implementation of projects and activities within the GEthC.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Conducts workshops and presentations on Ethical conduct to various stakeholders.

Reviews, finalizes investigative reports and ensures timely submission; establishes or facilitates case hearing notices or meetings before GEthC as appropriate.

Supervises staff at GEthC meetings, hearings, conferences and working sessions.

Prepares reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Performs research and analyzes statistical data.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of investigation and compliance best practices and trends.

Knowledge of supervisory and management principles and practices.

**SENIOR ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

Knowledge of bookkeeping principles and compilation of statistics.

Knowledge of the principles and practices of modern public administration and personnel management.

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently, exercise sound judgement, and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

Two (2) years of work experience as an Ethics Investigation and Compliance Officer II or four years of equivalent work experience, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: O (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 3	= 264
	PROBLEM SOLVING:	E 3 38%	= 100
	ACCOUNTABILITY:	E 2 C	= <u>132</u>
	TOTAL POINTS		496

, Chairperson
Guam Ethics Commission

**CHIEF ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

NATURE OF WORK IN THIS CLASS:

This position manages the full range of complex professional ethics investigation and compliance work and assists the Executive Director with the overall administration and operations of the Guam Ethics Commission (GEthC).

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Advises and assists the Executive Director in executing the Guam Ethics Commission's strategic plan; ensures strategic goals and objectives are met; oversees the preparation of the annual ethics training compliance report plan, associated annual reports, and other annual, multiyear, or related long-range work plans and schedules.

Receives complaints of misconduct against public officials or officers and presides over investigation planning and execution pursuant to established GEthC protocol; oversees and reviews referrals and all investigative and compliance work performed by staff; reviews, edits, and ensures investigative hearing results are effectively communicated and documented in writing.

Oversees GEthC operations including budgeting, staffing, training, and performance management; takes corrective actions to address staff performance issues or concerns; oversees requests for contracted services and other office-related procurement; monitors contracted services and ensures compliance and completion.

Represents the Executive Director and the Guam Ethics Commission at meetings with management, boards, federal and oversight agencies, Legislators, and others; reviews legislative bills and assists the Executive Director in preparing testimonies and attends legislative hearings.

Develops administrative procedures and guidelines to be followed in the implementation of projects and activities within the GEthC; develops and/or communicates Guam Ethics Commission's policies, procedures, and business processes.

Provides technical support at GEthC meetings, hearings, conferences and working sessions.

Reviews or prepares reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of government budgeting and procurement methods, processes, and practices.

Knowledge of supervisory and management principles and practices.

Knowledge of investigation and compliance best practices and trends.

**CHIEF ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

Knowledge of the principles and practices of modern public administration and personnel management.

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently, exercise sound judgement, and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

- A. Three (3) years of work experience as a Senior Ethics Investigation and Compliance Officer or ten (10) years of investigative and compliance work or equivalent including three (3) years in a supervisory capacity, and a Master's degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning; or
- B. Four (4) years of work experience as a Senior Ethics Investigation and Compliance Officer or ten (10) years of investigative and compliance work or equivalent including four (4) years in a supervisory capacity, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License and must have completed four (4) procurement modules as mandated by 5GCA § 5141.

ESTABLISHED:

PAYGRADE: R (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	F II 3	= 350
	PROBLEM SOLVING:	E 4 43%	= 152
	ACCOUNTABILITY:	E 2 P	= 200
	TOTAL POINTS		702

, Chairperson
Guam Ethics Commission