

**WISCONSIN DEPARTMENT OF SAFETY AND PROFESSIONAL SERVICES
DIVISION OF LEGAL SERVICES AND COMPLIANCE**

RECORDS MANAGEMENT SUPERVISOR – Administrative Unit

POSITION SUMMARY

Under the general supervision of the Division Administrator, this position supervises and manages staff in the Division's Administrative unit, which consists of the Professional Assistance Procedure (PAP) program, records and forms management, complaint intake and screening, and monitoring of orders.

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- A. Serve as a member of the Division management team by providing leadership and administration of the Administrative unit, whose staff supports the Professional Assistance Procedure program (PAP), the complaint intake and screening process, and monitoring of orders.**
- A1. Supervise and oversee work assignments of direct reports.
 - A2. Ensure compliance with work schedules, breaks and lunch periods and approve leave and ensure accurate and complete time entries in PTASWeb.
 - A3. Plan work operations, establish short-range unit goals, and set priorities for staff to accomplish goals which are consistent with the Division's Strategic Plan and Lean Government Initiatives.
 - A4. Provide leadership to foster effective working relations among all unit staff to achieve strategic goals, improve customer service, control costs, and allocate resources.
 - A5. Participate in the development and implementation of Division-wide methods of fiscal control, budget, personnel, contracts, information technology, planning, policy development, program evaluation, and facilities management.
 - A6. Implement plans, policies, and programs focused on providing effective and efficient service delivery.
 - A7. Conduct staff meetings for the purpose of coordination, information exchange, and policy and procedures evaluation.
 - A8. Ensure staff compliance with Department and Division metrics, policies, procedures and rules.
 - A9. Review, assess and revise position descriptions, develop information necessary for certification requests, conduct interviews of prospective staff and recommend hiring.
 - A10. Perform employee performance evaluation updates on a quarterly basis and a final formal evaluation annually.
 - A11. Recommend or initiate appropriate disciplinary action when performance or behavior is below acceptable standards or conduct is in conflict with policy, accepted procedures, work rules, or law.
 - A12. Provide reports related to staff performance, status of special projects, or as requested by the Division Administrator.

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B. Administer and provide oversight to the Monitoring and PAP Programs.

- B1. Track reports, information and documents received regarding pending monitoring cases and PAP files.
- B2. Contact credential holders, employers, therapists, and other individuals, institutions, and facilities and request supplemental information.
- B3. Interpret and apply established guidelines and standards to objective and subjective evidence of record to determine compliance with disciplinary orders and completion of the monitoring program.
- B4. Interpret and apply established guidelines and standards to objective and subjective evidence of record to determine who may participate and for continued participation in the PAP.
- B5. Analyze reports, information and documents received regarding each credential holder and their compliance with their monitoring program and participation in the PAP.
- B6. Plan and manage investigations of credential holders for possible violation of their disciplinary orders or PAP agreements. Analyze investigative information to determine necessary follow-up; obtain follow-up information.
- B7. Consult with professional agencies regarding limitations and conditions on credential holders.
- B8. Negotiate with potential PAP participants or their attorneys regarding terms of the agreement and statement of facts.
- B9. Oversee and supervise the coordination with health care providers, treatment facilities, therapists, labs, employers, continuing education providers, professional mentors and auditors as necessary to set up the monitoring program for each credential holder under a disciplinary order or the PAP.
- B10. Answer inquiries and provide information on credential holders under disciplinary orders to the public, board liaisons, and department staff.
- B11. Develop and maintain procedure manuals for the Monitoring and PAP programs.
- B12. Consult with Board member monitoring liaisons, as required, regarding the granting of initial stays of suspensions and removal of stays of suspensions.

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C. Administer and provide oversight to the Complaint Intake and Screening programs within the Division.

- C1. Evaluate complaint intake and screening actions to assure appropriateness and adequacy of recommendations and movement of complaints to the next stage of the complaint handling process.
- C2. Review files opened for investigation for completeness and accuracy. Ensure all aspects of the screening process have been addressed.
- C3. Coordinate movement of screened and opened complaints to the complaint handling teams. Routinely review intake and screening functions to ensure complaints are moved through process in accordance with metric standards.

- C4. Identify, recommend and implement quality improvement processes.
- C5. Appear at meetings of the regulatory authorities attached to the Department to answer questions or make presentations relating to the complaint handling process or status of complaints.
- C6. Respond to written, verbal and personal inquiries from complainants, respondents and board members.
- C7. Develop and maintain procedure manuals for the complaint intake and screening processes.

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D. Maintain the Divisions records management program, including forms, lists, and records.

- D1. Maintain file of original and revised forms.
- D2. Maintain listing of closed investigative case files located at the State Records Center. Request closed investigative case files located at the State Records Center.
- D3. Review and revise current Division forms. Develop new Division forms. Ensure the forms are placed on the Department's website, when appropriate. Maintain the Division's forms file.
- D4. Prepare and maintain inventory listings of complaints closed at screening; closed case files, monitoring files, PAP files and Division reports located at the State Record Center. Ensure the files are correctly boxed and labeled for transmittal to the State Record Center. Request files from the State Record Center.
- D5. Process closed complaints and closed case files ensuring they are appropriately assembled, labeled and filed in the Spacesaver filing system on an ongoing basis.
- D6. Review records retention schedules and governmental recordkeeping requirements to determine timetables for transferring active records to inactive storage. Review and revise RDA's as needed.
- D7. Examine and evaluate format and function of Division forms. Develop new or improve existing forms, format, and usage.

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E. Perform other Duties as Assigned by Division administrator.

KNOWLEDGE, SKILLS AND ABILITIES

- Knowledge of legal principles and their applications, including administrative law, relevant Wisconsin state and federal case law, statutes, and regulations.
- Knowledge of principles and practices of management.
- Knowledge of the Department's records management program including responsibilities of the Division associated with records and open records law.
- Interpersonal and customer service skills.
- Organization skills and ability to handle multiple priorities.
- Analytical and problem-solving skills
- Ability to exercise good judgment.
- Effective oral and written communication skills, including presentation skills.
- Skill in internet research, Lexis/Nexis, Microsoft Office Suite and legal databases.
- Ability to develop policy and procedures.
- Ability to exercise a professional demeanor and represent the Department in a positive manner.