Corporate Compliance and Ethics Program Toolkit

Job **Description Templates for Compliance Program Oversight**

*State logo added here. If not, delete text box*

Job Description Template for Compliance Program Oversight

\*The following is a sample job description for a Compliance Officer. It is recommended that this resource serve as a template and is not intended to be all inclusive. Refer to legal counsel for additional review and input.

**Position Description**

**Job Title: Compliance Officer**

**Reports To: Governing Body**

**Direct Reports: Compliance Liaison**

**FLSA Classification: {designate Exempt/Non-Exempt as appropriate}**

**Hours: 40 hours**

**Effective Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Summary Description:**

The role of the Compliance Officer is to establish and implement an effective corporate compliance and ethics program for the operating organization. The Compliance Officer is responsible for overall oversight of the corporate compliance and ethics program, monitoring and reporting the results of corporate compliance and ethics programs of individual facilities and the operating organization. The Compliance Officer advises and makes recommendations to the Board and individual facilities related to compliance issues, concerns and outcomes.

**Responsibilities:**

* Oversight of corporate compliance and ethics program.
* Develop and implement written policies and procedures in accordance to applicable regulations and requirements, designed to reduce violations and promote quality of care.
* Develop, review, implement and monitor initiatives related to corporate compliance and ethics.
* Oversee and conduct audits and monitoring activities in accordance to the plan and annual auditing/monitoring plan. Measurement of compliance by conducting routine and/or focused internal audits of policy/procedure adherence as well as coordinating audits generated by external sources.
* Evaluate effectiveness of regulatory compliance with all rules, regulations and requirements related to skilled nursing operations.
* Disseminate information to and educating of XXXXXXXXXXXXX leadership, employees, volunteers and agents regarding a broad spectrum of compliance related topics.
* Assist with the baseline risk assessment process and risk assessment work plan to mitigate risk and potential negative outcomes.
* Providing education and training about actual, proposed, or pending regulations and legislation that affect operations.
* Identifying operational obstacles to compliance, and working with other employees to identify and implement solutions.
* Consult, participate and assist with investigations, disciplinary process related to violations of the corporate compliance and ethics program, polices and processes.
* Oversee and assist with reporting internally and externally mandatory reportable violations.
* Design and implement an anonymous reporting system free from retaliation.
* Authority to take corrective actions as indicated and within scope of responsibilities
* Review compliance data, reporting data, hot line data for compliance violations, trends and opportunities for improvement.
* Oversight and review of vendor relations, including exclusion requirements, Anti-Kickback, Stark and HIPAA processes.
* Maintain current working knowledge of applicable state and federal standards, regulations, and industry standards of practice.
* Other duties as assigned by supervisor.

**The responsibilities listed above are representative of the position and are not all-inclusive. More detailed listings of the duties and tasks may be outlined in supplemental documents.**

**Qualifications:**

* BA/BS in XXXXXXX
* Must have five years of management skills
* Strong interpersonal and communication skills
* Strong customer service skills, ability to motivate staff
* Clear, concise and persuasive writing and presentation skills
* Possess strong skills related to deadline and detail
* Demonstrate the ability to work effectively and positively with employees at diverse levels
* Critical thinking skills with the ability to make right decisions and exercise sound clinical professional judgment.
* Computer literacy to navigate through internal/external computer systems. Access to electronic communications.

**Special Position Requirements:**

* Must keep all professional licenses and certifications updates as required and provide proof of current licensure.
* Must maintain an active driver’s license and provide proof of auto insurance upon request.
* Some travel required

**Preferences:**

* Health care and long-term care experience

**Physical Demands:**

* Ability to endure prolonged walking, sitting, standing, use of pulling bending and stooping movements,
* Ability to talk and hear.
* Dexterity of hands and fingers to operate a computer keyboard and mouse.
* Must be able to lift and/or move up to 15 pounds.

**Mental Demands:**

* Must be able to work under pressure to maintain organizational goals.
* Must be able to demonstrate the ability to work well with others.
* Ability to adapt to changes in daily work hour and schedule.

**EEO/AAP Policy Statement**It is the policy of XXXXXXXXXX to ensure equal employment opportunity to all employees and applicants for employment by all applicable Equal Employment Opportunity/Affirmative Action laws, directives and regulations of federal, state and local governing bodies or agencies.

I have reviewed this job description and agree it is an accurate representation of the responsibilities of my job and that I can meet all the functions and demands of this position. I understand that as the organization’s needs change, my job description will change.

I have read and understood this job description and fully understand the requirements set forth herein. I accept the position and agree to abide by the conditions set forth and will perform all duties and responsibilities to the best of my ability.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employee Signature/Date Print Name

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Supervisor Signature/Date Print Name

\*The following is a sample job description for a Compliance Officer. It is recommended that this resource serve as a template and is not intended to be all inclusive. Refer to legal counsel for additional review and input.

**Position Description**

**Job Title: Compliance Liaison**

**Reports To: Direct Supervisor and dotted line to Compliance Officer**

**Direct Reports: NA**

**FLSA Classification: {designate Exempt/Non-Exempt as appropriate}**

**Hours: \_\_\_\_\_ hours**

**Effective Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Summary Description:**

The role of the Compliance liaison is to assist with the effective implementation of a corporate compliance and ethics program for the organization. The Compliance liaison is responsible to monitor and analyze regulatory outcomes and results under the oversight and direction of the Compliance Officer. This role assists with the dissemination of corporate compliance and ethics program polices, processes and outcomes.

**Responsibilities:**

* Assist in the development and distribution of the code of conduct and compliance and ethics program policies.
* Serve as a liaison and provide a communication channel to and from the compliance office.
* Escalating allegations of wrongful behavior to the compliance office.
* Assist with the baseline risk assessment process and risk assessment work plan to mitigate risk and potential negative outcomes.
* Identify operational obstacles to compliance and working with the Compliance Officer and other employees to identify and implement solutions.
* Consult, participate and assist with investigations if applicable related to violations of the corporate compliance and ethics program, polices and processes.
* Assist in development and implementation of employee compliance and ethics training, tracking of training and training documentation.
* Serve as a resource to address compliance questions.
* Assist in conflicts of interest related to gifts and entertainment decisions.
* Receive allegations of code of conduct violations and other compliance violations and report findings to Compliance Officer.
* Assist with reporting internally and externally mandatory reportable violations.
* Assist with the implementation of an anonymous reporting system free from retaliation.
* Monitor and reporting on program effective within their area of responsibility.
* Maintain current working knowledge of applicable state and federal standards, regulations, and industry standards of practice.
* Other duties as assigned by supervisor.

**The responsibilities listed above are representative of the position and are not all-inclusive. More detailed listings of the duties and tasks may be outlined in supplemental documents.**

**Qualifications:**

* BA/BS in XXXXXXX
* Must have management skills
* Strong interpersonal and communication skills
* Strong customer service skills, ability to motivate staff
* Possess solid presentation skills
* Possess skills related to deadline and detail
* Demonstrate the ability to work effectively and positively with employees at diverse levels
* Critical thinking skills with the ability to make right decisions and exercise sound clinical professional judgment.
* Computer literacy to navigate through internal/external computer systems. Access to electronic communications.

**Special Position Requirements:**

* Must keep all professional licenses and certifications updates as required and provide proof of current licensure.
* Must maintain an active driver’s license and provide proof of auto insurance upon request.
* Some travel required

**Preferences:**

* Health care and long-term care experience

**Physical Demands:**

* Ability to endure prolonged walking, sitting, standing, use of pulling bending and stooping movements,
* Ability to talk and hear.
* Dexterity of hands and fingers to operate a computer keyboard and mouse.
* Must be able to lift and/or move up to 15 pounds.

**Mental Demands:**

* Must be able to work under pressure to maintain organizational goals.
* Must be able to demonstrate the ability to work well with others.
* Ability to adapt to changes in daily work hour and schedule.

**EEO/AAP Policy Statement**It is the policy of XXXXXXXXXX to ensure equal employment opportunity to all employees and applicants for employment by all applicable Equal Employment Opportunity/Affirmative Action laws, directives and regulations of federal, state and local governing bodies or agencies.

I have reviewed this job description and agree it is an accurate representation of the responsibilities of my job and that I can meet all the functions and demands of this position. I understand that as the organization’s needs change, my job description will change.

I have read and understood this job description and fully understand the requirements set forth herein. I accept the position and agree to abide by the conditions set forth and will perform all duties and responsibilities to the best of my ability.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Employee Signature/Date Print Name

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Supervisor Signature/Date Print Name