

JOB DESCRIPTION/PERFORMANCE APPRAISAL

Job Title: Assistant Compliance Officer

Department: Internal Audit Services and Compliance

Job Code:

Division:

Grade:

Reports to: Chief Audit and Compliance Officer

Effective Date: July 2001

Review Period – From: xx/xx/xx **To:** xx/xx/xx

Employee Name:

JOB SUMMARY – *(Describe the job in general terms, as if someone just asked “what do you do for a living?” Incorporate the scope of responsibility. Use language as if you were speaking to someone who did not already understand the position, i.e.: no acronyms.)*

The Assistant Compliance Officer will report to the Chief Audit and Compliance Officer and will be responsible, among other things, for partnering with management to provide continual risk assessment and in the development of comprehensive policies and procedures, compliance training, protocols, internal investigations.

JOB RESPONSIBILITIES

Job Specific Responsibility/Standards – *(List most difficult components of job first, focusing on tasks performed rather than qualities of the employee. Use bullets to describe the steps of how the incumbent solves problems and completes tasks.)*

<u>% of time</u>	<u>Responsibility/Standard</u>	<u>Essential Function</u>	<u>Perf Rating</u>
<u>25%</u>	1. <ul style="list-style-type: none">• Perform internal compliance investigations and audits throughout the Hospital, including compiling detailed reports with recommendations to the Compliance Officer and management.••	_____	_____
<u>25%</u>	2. <ul style="list-style-type: none">• Develop compliance training materials and perform ongoing compliance training throughout the Hospital and the research operation, including the development of computer based training.••	_____	_____
<u>25%</u>	3. <ul style="list-style-type: none">• Provide ongoing advice and resources to management for compliance issues and process monitoring and improvement, and work with management to implement these improvements.••••	_____	_____
<u>10%</u>	4. <ul style="list-style-type: none">• Assist the Chief Audit and Compliance Officer with the development and implementation of the annual Compliance Workplans.	_____	_____

D- Distinguished; EE-Exceeds Expectations; ME-Meets Expectations; ENA- Expectations Not Achieved

<u>% of time</u>		<u>Essential Function</u>	<u>Perf Rating</u>
	•		
	•		
	•		
<u>15%</u>	5. Other duties as assigned by the Chief Audit and Compliance Officer from time to time, including the management of the compliance staff.		
	•		

Uniform Standards For Non-Managers N/A

<u>% of time</u>	<u>Responsibility/Standard</u>	<u>Essential Function</u>	<u>Perf Rating</u>
	1. Responds promptly and positively to patients, families, associates, and all others in a respectful, courteous and confidential manner.		
	<ul style="list-style-type: none"> • Maintains identifiable/professional attire at all times, including using nametags and identification cards. • Answers telephone calls within three rings 95% of the time. • Respects confidentiality of patients and co-workers in all circumstances 100% of the time. • Greets patients, families, co-workers and others in a calm, professional, friendly manner; makes eye contact, initiates conversation, and identifies self by name. 		
	2. Follows hospital and department procedures and policies.		
	<ul style="list-style-type: none"> • Attends mandatory sessions/meetings/in-services 100% of the time. • Adheres to attendance policies and procedures. • Demonstrates knowledge and application of the hospital and department policies and procedures. • Reviews policy and procedure updates from managers and the hospital. 		
	3. Provides or facilitates a clean, safe, quiet and secure environment for all.		
	<ul style="list-style-type: none"> • Reports any incident that seems unusual/deficient to supervisor and/or Security. • Corrects and/or reports unsafe, unsecured or unclean environment to supervisor and/or Environmental, Health and Safety, or Facilities departments. • Always takes breaks away from patient and family areas. • Keeps self and work area neat and organized. 		
	4. Participates collaboratively in staff meetings, committees, projects and teams to resolve conflicts and meet institutional goals.		
	<ul style="list-style-type: none"> • Attends staff meetings as requested 100% of the time. Is recognized as an “informed” participant or committee member by peers. Completes assignments on time 100% of the time. • Reviews and contributes to the attainment of departmental and hospital goals annually. • Participates and contributes to team projects. 		

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<u>% of time</u>		<u>Essential Function</u>	<u>Perf Rating</u>
	<ul style="list-style-type: none"> Demonstrates knowledge of constant quality improvement values and participates in hospital and departmental Quality Improvement initiatives. 		
	5. Identifies own learning needs and obtains necessary education to meet requirements of position. <ul style="list-style-type: none"> Attends mandatory education programs 100% of the time. Documents and reports all necessary education and training. Attends CCD classes or pursues outside education. Applies education and training to daily work to enhance job knowledge and skills. Reviews learning needs with supervisor to set individual education and learning goals on an annual basis. 		
	6. Follows hospital and departmental cost control standards: monitors usage of supplies and equipment to eliminate or minimize waste and/or misuse.		
	7. Demonstrates knowledge and ability to render age appropriate care and services based on patients' developmental needs. If applicable, please state the specific age range of the patients (0-21): _____		

POSITION SCOPE *Indicators of the nature and degree of this position's responsibility for income, expenses, assets and employees.*

PEOPLE MANAGEMENT

- Number of direct reports: *Responsible for hiring, firing, performance management/goal setting, discipline, etc.* _____
1-2
- Job titles of direct reports: _____
Internal Auditors
- # of indirect reports: *Employees reporting to direct reports –* _____
0
- # of outside/contractual reports: *People who are not hospital employees –e.g.. outside contractors, temps* _____
Could be numerous

MONEY MANAGEMENT (\$)

- Expenses:**
- Department Budget: *Staff and other operating expense attributable to the immediate department* _____
\$
 - Other Expenses, *e.g. organization-wide expenses controlled/influenced by this position* _____
\$
- Income:** *Revenues generated through patient care, grants, research funds, etc – specify source below.* _____
\$
- Assets:** *Facilities, capital equipment or other property controlled/used by this position* _____

REGULATORY AGENCIES *List any regulatory agencies that this position is subject to other than the Dept of Labor and JCAHO (i.e.: CBH)*

DOJ, OIG, PA DPW, HCFA

REQUIRED CERTIFICATES/REGISTRATIONS *By either federal, state or local agencies or regulatory authorities or hospital policy.*

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MHA, JD, or MBA preferred
BA/BS mandatory

EDUCATION & EXPERIENCE *(Minimum required to adequately perform the position's duties, or required before certification/registration. It is acceptable to list a preferred, higher requirement, but it should be so identified. It may also be acceptable to use the terminology "or equivalent experience.")*

BA/BS mandatory
MHA, JD, or MBA preferred

KNOWLEDGE, SKILLS & ABILITIES *Qualities the incumbent must possess to effectively perform the duties of this position*

Excellent writing and communications skills
Familiarity with an academic medical center setting
Health care legal, operational or financial skills

PHYSICAL CAPABILITIES

N/A

ENVIRONMENTAL CONDITIONS

N/A

Note: This job description/performance appraisal may not describe all job functions. They may change from time to time.

Age Specific Competency Assessment and Summary and Goals sheet must accompany all performance appraisals.