

## **Job Description Director of Risk & Compliance**

### **SUMMARY:**

The Director of Risk & Compliance (DRC) provides leadership and technical expertise in the development and administration of QueensCare Health Centers' (QHC) risk management and compliance programs, including assessment of risks to prevent loss to people, property and income; implementation and oversight of loss prevention techniques; implementation and maintenance of compliance systems and processes to ensure compliance with all applicable regulations and standards; production and presentation of reports on risk management efforts in clinical, operational and administrative areas to staff, the Boards of Directors, committees of the Boards, HRSA (FTCA) and other regulatory bodies. The Director is responsible for the management and processing of claims related activities and serves as the claims point of contact. The Director ensures all regulatory and/or grant related training requirements are met and documented; ensures malpractice training meets HRSA and FTCA requirements; develops and conducts mandatory employee trainings; collaborates with other department leaders to ensure that policies and procedures are enforced and takes appropriate action if needed; oversees credentialing and ensures timely completion of files and applications.

The DRC is a hands-on strategic leader that helps define and execute risk and compliance strategy, as well as lead critical project management across the organization. The DRC serves as the organization's Compliance and Privacy Officer.

### **ESSENTIAL JOB DUTIES AND RESPONSIBILITIES:**

1. Supports and implements the organization's vision, mission, and values.
2. Promotes a culture of high performance and continuous improvement that values learning and high quality, service oriented support to meet the needs of management and staff.
3. Supervises personnel to include screening, interviewing, hiring, disciplining, and terminating. Guides, directs, disciplines, coaches, and motivates staff regarding work performance, problem solving, and decision making to ensure staff meet work standards. Conducts all aspects of supervision in a professional, consistent, and objective manner.
4. Collects and analyzes data on an ongoing basis to prioritize risks by degree of exposure and potential severity of loss. Engages staff, providers, board members, and leaders in the risk assessment process.
5. Responsible for the management and processing of claims related activities, claims management, and serves as the claims point of contact.
6. Advises key members of senior management on risk related matters including, investigations, potential risks, litigation cases, trends, and policy issues.
7. Develops, implements, and ensures board approval of comprehensive risk management and compliance programs across the full range of organizational activities and programs.
8. As part of the risk management program, develops an annual risk management plan, consisting of goals, with clearly defined quarterly measures.
9. Conducts bi-annual organizational risk assessments and reports on findings and trends.
10. Demonstrates compliance to and the value of the risk management program by reporting to the board and key management staff, quarterly, on risk management activities, progress in meeting the annual risk management plan goals, and implementation of follow up actions. Translates the data into information that is meaningful to the intended audience.
11. Routinely assesses organizational performance by reviewing information such as ongoing risk assessment data, event and near-miss data, self-assessments, quality indicators, regulatory feedback (i.e. from HRSA or accreditation organizations), results of patient satisfaction surveys, and/or provider and staff input.
12. Reviews departmental / functional incident reports and acts on them as appropriate.
13. Ensures staff members receive timely and appropriate training and development.

14. Provides feedback to staff on both individual contributions and organizational progress. Plans and implements loss prevention and related educational programs to ensure risk awareness among staff.
15. Investigates matters related to loss prevention / risk reduction. Manages internal controls as needed.
16. Serves as organizations' designated representative in legal settlement conferences, verification of production subpoenas, admissions or stipulations, investigations and all other matters requiring a corporate representative. Involves General Counsel or outside counsel as appropriate in above actions. Negotiates to resolve both formal and informal claims of loss.
17. Serves as liaison for organization(s) with insurance carriers, brokers, and claims adjusters and attorneys.
18. Works with General Counsel to monitor the organization's compliance with laws and regulations. Oversees investigations and corrective actions, as appropriate.
19. Maintains an orderly and complete record keeping system, including files for open and closed claims/litigation and suspected acts; documentation regarding recommendation and implementation of corrective actions; and records pertinent to insurance matters.
20. Oversees compliance activities with regulatory/standards bodies with, or on behalf of, sites (e.g. CMS, AHCA Joint Commission, State Pharmacy Boards) as necessary.
21. Ensures the organization's document management system maintains corporate records, contracts, agreements and other records in compliance with filing, access, destruction and retention policies.
22. Reviews errors using techniques such as root-cause analysis (RCA) to minimize the errors' reoccurrence.
23. Reviews QI findings, performance improvement results, and information from various internal committees. Ensures linkages between risk management and clinical/operational functions such as case review and infection control.
24. Evaluates, documents and monitors the adequacy of the compliance program, process efficiencies / effectiveness, integrity of information, and safeguarding of assets.
25. Evaluates, documents and monitors the adequacy of credentialing and associated process efficiencies / effectiveness, and ensures a sense of urgency/ timely completion of files and appliatipons.
26. Identifies areas of compliance and internal control vulnerabilities and risks; develops / implements corrective action plans for resolution of problematic issues and provides general guidance / recommendations on how to avoid or deal with similar situations in the future.
27. Promotes a heightened awareness and understanding of standards of conduct and ethics; new and existing compliance issues; related policies and procedures and use of reporting systems, including the compliance hotline.
28. Uses discretion and judgment in handling sensitive or confidential information. Answers all employee and client inquiries in a timely and courteous manner. Listens and responds to employee disputes. Understands which decisions can be made alone and which need to involve others.
29. Complies with organizational policies and procedures.
30. Must be willing and able to work at all locations as needed to meet patient care needs.
31. Must be willing and able to work all business hours including evenings and weekends.
32. Performs other duties as assigned.

### **QUALIFICATIONS:**

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

### **EDUCATION/EXPERIENCE:**

- Bachelor's degree from a 4-year college or university; Master's in Healthcare Administration or MBA degree preferred;

- A minimum of 3 years prior experience in a healthcare environment performing risk management/compliance duties preferred.

### LANGUAGE SKILLS

Ability to read and interpret documents, such as policies and procedures, benefits information, board minutes, routine mail, contracts and instruction manuals. Ability to compose routine reports and correspondence.

Ability to speak on a one-to-one basis and to make group presentations using appropriate vocabulary and grammar to obtain information, explain policies and procedures, and persuade others to accept or adopt specific opinions or actions, etc. Ability to discuss a variety of job-related topics on short or no notice. Skill in handling rapid changes of conversation involving difficult questions. Ability to effectively communicate with persons of various social, cultural, economic, and educational backgrounds.

Ability to read and interpret documents that are at times highly complex relating to clinical, legal and financial matters. Ability to write sophisticated reports and correspondence. Ability to speak and present information effectively with all constituencies: board of directors, physicians, clients, patients and employees of QueensCare Health Centers. Ability to facilitate discussions and work in a highly collaborative manner. Ability to positively manage and communicate change. Ability to influence key leaders, physicians and other providers.

### MATHEMATICAL SKILLS:

Ability to calculate figures and amounts such as discounts, interest, commissions, proportions, percentages, and apply concepts of basic algebra and geometry.

### REASONING ABILITY:

Advanced ability to analyze information, problems, situations, practices or procedures. Advanced ability to analyze complex technical data using qualitative and quantitative sources of information to formulate logical and objective conclusions and to recognize alternatives and their implications. Ability to carry out instructions delivered in written, oral or in other daily situations that arise. Ability to deal with problems involving several concrete variables in standardized situations. Ability to make decisions and execute timely in order to produce a positive outcome.

### OTHER SKILLS AND ABILITIES:

1. Demonstrates required knowledge, skills, and education for job functions.
2. Demonstrates ability and willingness to work in other areas as needed.
3. Ability to operate as an effective tactical as well as strategic thinker.
4. Strong mentoring, coaching experience to a team with diverse levels of expertise.
5. Superior management skills; ability to influence and engage direct and indirect reports and peers.
6. Self-reliant, good problem solver, and results oriented. Able to manage conflict in a direct and professional manner.
7. Thinks critically to navigate business issues on a daily basis, and strategically to develop long term plans.
8. Possesses excellent written and verbal communication skills; utilizing, tact, active listening, empathy and compassion.
9. Demonstrates proficiency in computer applications such as Microsoft Excel, Power Point, Word, Outlook, Compliance 360, and Navex Global Ethics Point.

### PHYSICAL DEMANDS:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

While performing the duties of this job, the employee is regularly required to use hands to finger, handle or feel and reach with hands and arms. The employee frequently is required to stand, walk, and sit. The employee is occasionally required to climb or balance, stoop, kneel, crouch or sit. The employee must frequently lift and/or move up to 10 pounds and occasionally lift and/or move up to 30 pounds. The employee is occasionally required to ascend and descend one flight of stairs. Specific vision abilities required by the job include close vision, color vision, and ability to adjust focus.

**WORK ENVIRONMENT:**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions. The noise level in the work environment is often low. However, there are many times when there is a high ambient background noise of phones and multiple conversations. Must be able to screen out the background noise to concentrate on the work at hand.