



Senior Director of Compliance and Privacy

Summary:

Under the direction of the Chief Compliance Officer, the Senior Director of Compliance and Privacy manages the day-to-day operations of the Corporate Compliance and Privacy program to ensure that Company complies with applicable New York State and federal laws, regulations, and contractual requirements. The Director is responsible for engaging, informing, and collaborating with the Providers, Operations, Finance, Legal, and other members of Management as appropriate.

Business Unit:	Essen Medical Associates
Department:	Compliance
Reports to:	Chief Compliance Officer
Union Status:	Non-Union
FLSA Status:	Exempt
Essential Job Functions	<ul style="list-style-type: none"> • Manages the day-to-day operations of the Corporate Compliance and Privacy program across Essen Medical and its affiliated entities and is responsible for ensuring compliance with regulatory requirements, including but not limited to, identification of compliance issues and trends, review of systems to ensure compliance, planning and conducting appropriate education, and resolving compliance complaints. • Leads and mentors Compliance direct reports. Ensures effective and ongoing, compliance training of employees, evaluates and records individual and team performance, provides coaching and counseling, and makes appropriate developmental and salary adjustment recommendations. • Performs regular assessments and identifies areas of risk exposure. Oversees and facilitates focused internal compliance reviews. Assists in the coordination of external compliance audits. • Collaborates with operations colleagues and leaders in the development of compliant processes & required documentation as evidence of compliance and compliance activities and regulatory compliance issues. • Manages the Compliance hotline and investigation tracking system. Conducts investigations of alleged violations received through the Compliance Hotline and other channels. Identifies areas of non-compliance and directs implementation of corrective actions to

	<p>remediate deficiencies and other issues generated by the compliance program. Refers cases to Human Resources or other departments, as appropriate. Generates reports of this activity.</p> <ul style="list-style-type: none"> • Manages, tracks and reconciles compliance and privacy incidents and produces activity reports for the Chief Compliance Officer to report to the Compliance Committee and Audit Committee of the Board. • Develops and implements methods to promote compliance and accountability at all levels of the organization. Develops policies and procedures to comply with regulatory requirements and evaluates their effectiveness, annually. Provides ongoing training and support to employees regarding the Code of Conduct/Conflict of Interest and other compliance requirements. Manages the electronic policy management database system for the organization and serves as the subject matter expert for policy templates and approval for consistency. • Tracks Conflict of Interest disclosures and reports suspected conflicts to Chief Compliance Officer and legal for appropriate review and decision. • Develops of internal communications, such as training and reference materials, newsletters, surveys, pamphlets, and other materials as necessary to raise compliance program awareness. • Participates in the development and implementation of methods and processes for preventing and detecting significant instances or patterns of illegal, unethical, or improper conduct. • Ensures that all required regulatory filings, reports, and responses are timely, accurate and consistent with legal and regulatory requirements. Reviews and responds to the regulatory agency in response to- inquiries and notices, in collaboration with Chief Compliance Officer and Legal. • Advises employees, contractors, and vendors (as appropriate), agents and any applicable governing Board members on issues of regulatory compliance and coordinates the collection any required compliance certifications or attestations, where appropriate. • Leads the monthly sanction/exclusions screening process for vendors, employees, providers, business owners, directors, and students/interns with the outsourced screening vendor and reports results to the Chief Compliance Officer, Legal and management, as appropriate for any resolution. • Assists the Chief Compliance Officer with the preparation of material for presentation to the Compliance Committee meeting and records minutes for distribution and approval. • Assists the Chief Compliance Officer with preparation of materials for the Audit Committee and Board of Director meetings. • Prepares reports for the Chief Compliance Officer to inform management of the activities of the compliance program.
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	<ul style="list-style-type: none"> • Leads the annual compliance risk assessment activity including development of surveys and presentations with input from the Regulatory and Audit teams for presentation to the Compliance Committee. • Performs any other job-related duties as assigned.
<p>Role Competencies</p>	<p>General Requirements</p> <ul style="list-style-type: none"> • Industry Understanding: Knowing the key concepts and variables of healthcare provider services and payment (including Medicaid and Medicare). • Risk Management – Able to identify and analyze compliance risks. Knowledge of the structure and phases of an audit: planning, implementation, reporting. Familiarity with the general Medicare/Medicaid statutory framework and related the legislative an annual risk assessment process. • People Management – Utilizes a variety of methods to influence employees under their supervision including coaching, delegating, building trust, communicating effectively, and managing performance. Able to organize and motivate people to get things accomplished in a way that promotes a sense of order and direction. • Planning & Organizing: Identifying goals, objectives, methods, resources needed to carry out methods, responsibilities, and dates for completion of tasks. • Problem Analysis - Ability to detect problems, recognize important information, and link various data; to trace potential causes and look for relevant details. • Evaluating with Tact - Assesses issues objectively, recognizes preconceptions Diplomatic and ‘organization-sensitive’. Can handle emotionally charged subjects, taboos, and intercultural differences. • Coordinating and Controlling Resources- Monitoring and adjusting resources and processes to achieve goals and objectives in a highly effective and efficient fashion. • Integrity & Commitment - Reliable and, in word and deeds, upholds Company code of conduct and compliance. Accounts for actions with valid arguments, properly directs own activities, and can self-correct. • Communication Skills - Stimulates effective communication between individuals and groups that attempt to solve differences of opinion and conflicts. Able to communicate effectively in writing and orally, actively and passively, person to person and in a group. Can effectively interact with senior management team, providers, and federal and state regulators. • Facilitation Skills - Process skills used to guide and direct key parts of organizing work with groups of people such as meetings, planning sessions, and trainings. Has knowledge of conflict management and can handle dissension.

Qualifications & Minimum Requirements	<ul style="list-style-type: none"> • Education: Bachelor’s Degree. Master’s degree in relevant area, such as healthcare compliance, business administration or law, preferred. • Certification: Certification in Healthcare Compliance (CHC) and Healthcare Privacy Compliance (CHPC) is preferred. • Experience: A minimum of 5 years of health care compliance experience with a demonstrated, progressive history of keeping current with state and federal regulations and compliance functions. • Fluent knowledge in MS Office Suite including Outlook, Word, Excel and PowerPoint. Tableau and/or other reporting software, helpful.
Scope of Authority	Managerial (People Manager)
Physical Requirements & Working Conditions	<p><i>Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.</i></p> <ul style="list-style-type: none"> • Must have use of sensory skills to effectively communicate and interact with other employees and the public through the use of the telephone, video conferencing and personal contact as normally defined by the ability to see, read, talk, hear, handle or feel objects and controls. • Manual dexterity necessary to efficiently operate office equipment. Minimal bending, carrying, kneeling, crawling, reaching, pushing, and pulling. Ability to lift up to 10 lbs. • May be required to stand and/or remain in a stationary position for long periods of time.
Work Schedule	This is a full-time position that is regularly scheduled to work a minimum of 40 hours per week. Some early mornings and/or late evenings may be required. This position is exempt from overtime under the Fair Labor Standards Act. This position is hybrid remote but requires in-person attendance a minimum of three days a week.
Core Competencies	<p>Integrity</p> <p>Acts in ways that demonstrate personal integrity and serves as a positive example of why others should trust the motives of the organization. Views himself or herself as a reflection of the organization by following through on commitments and accepting ownership of any mistakes he or she might make. Leaves others with the clear impression that integrity is a core value at this organization. This contrasts with individuals who make commitments that go unmet, fail to acknowledge their role in disappointing events, or whose actions (or inaction) leave others with doubts about the level of trust that should be placed in the organization.</p> <p>Customer Focus/Cultural Awareness</p> <p>Takes on a holistic customer service approach for both external (and internal) customers that demonstrates an awareness of the needs of individuals. Engages the whole person and strives to connect on multiple levels (i.e., physical, emotional, mental, cultural, and spiritual levels) and understands that the human being is multi-dimensional. Identifies customer needs and expectations and responds to them in a timely and effective manner. Anticipates and prevents delays or other things that can adversely affect the</p>

	<p>customer. Keeps customers informed about the status of pending actions and inquires about customer satisfaction with products or services. Can apply understanding of cultural needs when providing service. This is in sharp contrast to behavior patterns that tend to disappoint customers, leave them feeling forgotten and unimportant or that otherwise result in unmet needs or expectations, investing little or no time attempting to build relationships or considering cultural needs.</p> <p>Flexibility/Agility Adjusts quickly and effectively to changing conditions and demands. Discusses change as a necessary and inevitable aspect of organizational life as well as an opportunity to learn new things. Has a similar view and approach to potentially stressful situations. Invests personal energy toward accepting and adapting to change that others use toward resisting or resenting it.</p> <p>Result Oriented/Innovative Thinking Achieves results within established timelines and looks for new and innovative approaches that will improve efficiency. Proactive and champions new ideas to build upon existing processes or to create new ones for increased efficiency or effectiveness. Expects that obstacles will occur and refuses to use them as an excuse for not achieving results.</p>
Disclaimer	<i>This job description serves as a general outline of duties and responsibilities required for this position. Management reserves the right to periodically amend this job description.</i>

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