



COMPLIANCE MANAGER

Position Status: Exempt
Reports To: Compliance Director
Effective Date: 09/01/07
Revised Date: 02/27/25
Job Level: M2

POSITION SUMMARY

Under administrative direction, this position:

1. Manages the Compliance function, acts as a subject matter expert, maintains, and monitors the Compliance Plan, and provides guidance on Compliance functions and departmental operations in a proactive and collaborative manner
2. Manages the Risk Assessment and Internal Audit and Monitoring Program and provides regulatory audit support
3. Manages the Alliance's external regulatory audit functions
4. Manages the Delegate Oversight Program
5. Manages, leads, supervises, mentors, and trains assigned staff
6. Performs other duties as assigned

RESPONSIBILITIES

1. Manages the Compliance function, acts as a subject matter expert, maintains, and monitors the Compliance Plan, and provides guidance on Compliance functions and departmental operations in a proactive and collaborative manner, with duties including but not limited to:
 - Maintaining awareness of regulatory, statutory, and contractual requirements related to Alliance business functions to ensure that operations, policies, and procedures comply with legal, contractual, and regulatory requirements, and industry standards
 - Collaborating with departments to ensure that policies, procedures, and practices conform with statutory, regulatory, and contractual requirements and industry standards
 - Informing the Chief Compliance Officer, Compliance Director, and Compliance Committee about situations of non-compliance in a timely manner
 - Working with department directors to implement operational changes and corrective action plans in situations of non-compliance, monitoring progress, and ensuring completion
 - Monitoring organizational compliance risks and ensuring that the plan responds appropriately
 - Ensuring that Compliance projects support and achieve Compliance Program goals Supporting the Compliance Director in the development, implementation, and ongoing monitoring of the Plan's Compliance Program
 - Collaborating with the Compliance Committee to ensure all staff are educated and trained on Compliance Program content
 - Researching and responding to staff questions regarding regulatory, statutory, and contractual compliance
 - Drafting, recommending, and implementing administrative policies and procedures related to Compliance Department operations
 - Developing, implementing, and ensuring compliance with department policies and procedures, including ensuring timely and complete annual review of Compliance Department policies and procedures

- Overseeing the preparation and maintenance of records and reports and related documents
 - Attending and participating in internal and external meetings related to Compliance Department activities
 - Conducting complex research and analysis related to Compliance strategies
 - Monitoring the unit budget and project budgets and assisting the Compliance Director with budget development, purchasing, and invoice approvals
 - Developing and evaluating RFPs, participating in vendor selection and contract development, and monitoring and evaluating the work of selected vendors
 - Providing updates to Alliance leadership, making presentations, supporting and training end users, and developing related materials
 - Staying informed of current best practices and new developments in the field and ensuring staff does the same
 - Monitoring legislative and legal changes related to Alliance functions and ensuring organizational compliance with same
 - Providing support to the Compliance Director and acting for the Director in Director's absence
 - Researching, recommending, and implementing opportunities for process improvement with focus on effective use of emerging technologies, in collaboration with Compliance leadership
2. Manages the Risk Assessment and Internal Audit and Monitoring Program and provides regulatory audit support, with duties including but not limited to:
- Conducting the Compliance Department's annual and quarterly risk assessment to identify areas of compliance risk, including risk-ranking and establishing key performance indicators associated with recommended risk mitigation tactics
 - Ensuring that the Internal Audit and Monitoring Program aligns with best practices and effectively identifies and resolves risk areas and non-compliance
 - Developing, implementing, and managing a process to identify and quantify compliance risk
 - Developing, implementing, and managing auditing and monitoring processes to ensure compliance with relevant contractual provisions and state and federal regulations and verifying that agency practice matches plan policy
 - Developing, implementing, and monitoring corrective actions when non-compliance has been identified
 - Overseeing the development of corrective action plans responsive to findings from regulatory audits
 - Ensuring organizational accountability for required corrective actions by collaborating with organizational personnel, and escalating non-compliance to Compliance leadership in a timely manner, including developing recommendations for escalated action
3. Manages the Alliance's external regulatory audit functions, with duties including but not limited to:
- Developing and implementing processes to support regulatory audits, including ensuring that organizational responses to audit deliverable requests meet deadlines and are of high quality, that regulatory audit reports are responded to in a timely manner, and that required corrective actions are communicated and implemented in a timely manner
 - Ensuring that onsite logistics are completed both in the in-office and virtual audit setting
 - Ensuring organizational leadership and staff are prepared for regulatory audits by leading and conducting effective mock audit sessions
4. Manages the Delegate Oversight Program, with duties including but not limited to:

- Overseeing pre-delegation evaluations prior to contracting with an entity, in order to ensure that the entity is able to fulfill delegated responsibilities
 - Ensuring Alliance subject matter experts appropriately oversee subcontractors and First Tier, Downstream, or Related Entity (FDRs) to whom contractual obligations are delegated
 - Implementing and managing the corrective action process, in support of subject matter experts, when subcontractors and FDRs are not performing in accordance with regulations or the contracted agreement
 - Coordinating with stakeholders and reporting the outcomes of delegate review activities to the Alliance Compliance Committee
 - Ensuring ongoing plan survey preparedness as it relates to delegated functions
 - Interacting with internal staff, subcontractors, FDRs, and regulators in support of program development activities, as needed
 - Ensuring that all applicable new requirements are communicated to subcontractors and FDRs and ensuring such requirements are implemented timely and appropriately
5. Manages, leads, supervises, mentors, and trains assigned staff, with duties including but not limited to:
- Providing leadership to the Compliance team, including communicating objectives, timelines and the impact of the work performed by the team
 - Managing and supervising staff, setting goals and objectives, delegating and assigning work
 - Providing mentoring, coaching, and development and growth opportunities to staff and subordinate supervisors
 - Interviewing and participating in the selection of staff in conjunction with the Compliance Director
 - Assisting subordinate supervisors with orienting staff to the Compliance function and with on-going supervisory responsibilities
 - Evaluating employee performance, providing feedback to staff, and coaching, counseling, or disciplining staff when performance issues arise
 - Making recommendations to the Compliance Director regarding the development of staff training plans, career pathways, and routine individual staff performance reviews
 - Overseeing or conducting Alliance staff training, including the development and maintenance of Compliance Program training materials, in conjunction with departmental leadership and the Learning and Development team
 - Identifying training gaps and opportunities for improved performance across the organization and recommending, developing and conducting related training
 - Overseeing staff in multiple office locations and/or telecommute settings
7. Performs other duties as assigned

EDUCATION AND EXPERIENCE

- Bachelor's degree in Business or Public Administration, Health Care Administration, Public Policy, or a related field and a minimum of six years of compliance-related experience in the healthcare industry which included some lead or supervisory responsibility (a Master's degree may substitute for two years of the required experience); or an equivalent combination of education and experience may be qualifying

KNOWLEDGE, SKILLS, AND ABILITIES

- Thorough knowledge of the principles and techniques associated with healthcare compliance functions
- Thorough knowledge of the principles and practices of health care planning and administration
- Thorough knowledge of healthcare regulatory policies
- Thorough knowledge of methods and techniques of research, analysis, and reporting
- Working knowledge of Medi-Cal, Medicare, Public Assistance and/or Social Security programs
- Working knowledge of the principles and practices of program and project management
- Working knowledge of the basic principles and practices of supervision and training
- Working knowledge of the principles and practices of customer service
- Working knowledge of quality improvement practices and audit techniques
- Working knowledge of and proficiency in Window based PC systems and Microsoft Word, Outlook, PowerPoint, Excel, Adobe Acrobat, and database software
- Some knowledge of State and Federal legislative processes
- Ability to train, mentor, supervise, and evaluate the work of staff, promote an atmosphere of teamwork and cooperation, and motivate staff to achieve goals and objectives
- Ability to develop work plans and workflows, organize and prioritize Compliance activities
- Ability to act as a technical resource and interpret, apply and explain complex principles, policies, procedures, regulations, terms, processes, and programs related to area of assignment
- Ability to organize and prioritize the work of others, delegate effectively, and follow up on work assignments
- Ability to manage the development and implementation of projects, systems, programs, policies and procedures
- Ability to manage multiple projects simultaneously, organize work, and achieve goals and timelines
- Ability to provide leadership, facilitate and lead meetings and projects, and guide employees in the resolution of issues
- Ability to identify and define issues, conduct research, gather and analyze information and data, reach logical and sound conclusions, offer recommendations and potential consequences, and mitigate risk
- Ability to effectively, clearly, and independently document, summarize and resolve complex issues
- Ability to manage the development and implementation of projects, systems, programs, policies, and procedures
- Ability to analyze and interpret legal and contractual language
- Ability to prepare written and oral reports, correspondence and other program documents
- Ability to develop training materials, in conjunction with Learning and Development staff, and conduct training
- Ability to create forms, correspondence, and other program documents
- Ability to present information, data and results in a clear and understandable manner utilizing methods appropriate to various forums
- Ability to develop and evaluate RFPs, participate in contract development, and oversee the work of contracted vendors
- Ability to foster effective and collaborative working relationships both internally and externally, influence others, and build consensus with individuals at all levels in the organization

- Ability to make presentations and adjust communication style in order to facilitate collaboration and understanding
- Ability to provide input regarding budget development, perform budget monitoring, and assist with purchasing activities
- Ability to adapt to and initiate change
- Ability to work independently and make decisions related to areas of functional responsibility

DESIRABLE QUALIFICATIONS

- Master's degree in Business or Public Administration, Health Care Administration, Public Policy, or a related field
- Experience working in a managed care environment

WORK ENVIRONMENT

- Ability to sit in front of and operate a video display terminal for extended periods of time
- Ability to bend, lift and carry objects of varying size weighing up to 10 pounds
- Ability to work effectively in a remote work environment
- Ability to travel to different locations in the course of work

This position description, and all content, is representative only and not exhaustive of the tasks that an employee may be required to perform. Employees are additionally held responsible to the Employee Handbook, the Alliance Standard Knowledge, Skills and Abilities and the Alliance Code of Conduct. The Alliance reserves the right to revise this position description at any time.