

**COMPLIANCE OFFICER**

**DISTINGUISHING FEATURES OF THE CLASS:** The Compliance Officer oversees and assures compliance with applicable Federal, State and Local laws, regulations and mandated programs such as: Health Insurance Portability and Accountability Act (HIPAA), regarding which the incumbent of this position will act as the County's Privacy Officer; Corporate Compliance, in which the incumbent of this position will be the Corporate Compliance Officer; Americans With Disabilities Act (ADA), in which the incumbent of this position will be the ADA Coordinator, Fair Housing Act, in which the incumbent is the Fair Housing Officer, Title VI of the Civil Rights Act of 1964 and the Civil Rights Restoration Act of 1987 in which the incumbent is the Title VI Coordinator, Workplace Violence Prevention Act, federal and state grant compliance and other compliance programs as assigned. This is a high level position with authority to ensure that County officials, agency management and all employees are in compliance with the rules and regulations of regulatory agencies that agency policies and procedures are written, adopted and being followed and that behavior within the County organization meets the expected Standards of Conduct. Responsibility also involves ongoing education and consultation with Department Heads to keep them apprised of current requirements or changes in statute or regulations. Must demonstrate sound judgement and ensure sensitive and confidential information is protected. Duties are performed under the general direction of the County Manager with wide latitude permitted for the exercise of independent judgment in administering, planning, developing and directing compliance programs. A Compliance Officer does related work as required.

**TYPICAL WORK ACTIVITIES:**

- Daily duties and responsibilities generally revolve around identifying and eliminating risks of non-compliance;
- Conducts research as required or assigned by the County Manager;
- Responsible for analyzing researched material for accuracy and applicability;
- Utilizes research and analysis to be prepared to provide appropriate & applicable advice to County administration;
- Develops a system of and schedule for conducting exclusion screening of all affected Individuals;
- Performs and ensures internal compliance audits are conducted in conjunction with the County Treasurer and the County's Independent Auditors;
- Develops, initiates, maintains, and revises County-wide policies and procedures in addition to the County's compliance programs to be consistent with requirements of regulatory agencies;
- Develops, conducts and facilitates training for employees related to compliance issues and County-wide policy;
- Develops, revises, and maintains process to respond to and track grievances and reports of alleged violations;
- Conducts inquiry and investigations into reports of alleged violations including HIPAA and Privacy breaches;
- Consults with the County Attorney and/or outside counsel as needed to resolve difficult legal compliance issues;

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Develops and oversees a system for uniform handling of such violations;  
Identifies potential areas of compliance vulnerability and risk;  
Develops/implements corrective action plans for resolution of problematic issues, and provides general guidance on how to avoid or deal with similar situations in the future;  
Provides reports on a regular basis, and as directed or requested, to keep management informed on the operation and progress of compliance efforts.

### **FULL PERFORMANCE KNOWLEDGES, SKILLS, ABILITIES, AND PERSONAL**

**CHARACTERISTICS:** Comprehensive knowledge of County-wide procedures, policies and practices regarding regulatory compliance issues; thorough knowledge of the principles and practices of administration; good knowledge of investigative practices and techniques; good knowledge of interviewing techniques to elicit information; ability to monitor and conduct analyses of operating procedures, identify problems and critical factors and develop methods for corrective action; ability to formulate, develop and implement auditing/investigative standards, procedures and policies; ability to prepare complex written and oral reports clearly and concisely; ability to write contracts and agreements; ability to develop and maintain effective working relationships in order to promote compliance with applicable codes and standards; ability to communicate effectively both orally and in writing; ability to provide training and consultation to a wide variety of employees, governing board members and contractors; ability to organize, assemble, categorize and prepare data for reporting purposes; ability to effectively use computer applications such as spreadsheets, word processing, calendar, e-mail and database software in performing work assignments; ability to read, write, speak, understand and communicate in English sufficiently to perform the essential functions and duties of the position; sound professional judgment; dependability; resourcefulness, accuracy; initiative; tact; integrity; discretion; physical condition sufficient to perform the essential functions of the position.

### **MINIMUM QUALIFICATIONS:**

#### **EITHER:**

**A)** Possession of a Master's degree **AND** one (1) year of compliance experience;

#### **OR:**

**B)** Possession of a Bachelor's degree in Public, Hospital or Business Administration, Health or a health care field, Finance, Accounting or a fiscal management field, **AND** one (1) year of compliance experience.

**NOTE:** Your degree must have been awarded by a college or university accredited by a regional, national, or specialized agency recognized as an accrediting agency by the U.S. Department of Education/U.S. Secretary of Education. If your degree was awarded by an educational institution outside the United States and its territories, you must provide independent verification of equivalency. A list of acceptable companies who provide this service can be found on the internet at <http://www.cs.ny.gov/jobseeker/degrees.cfm>. You must pay the required evaluation fee.

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All qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Competitive Class

Adopted 11/21/17

Non-Competitive Class Adopted 3/27/20, Revised 6/24/21, 4/23/24