Chief Compliance Officer
Position Profile

UNT HEALTH SCIENCE CENTER

3500 Camp Bowie Blvd.
Fort Worth, TX 76107

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The Organization

The University of North Texas Health Science Center

UNTHSC is one of the nation's distinguished graduate academic health science centers, dedicated to education, research, clinical care and community engagement. In the heart of Fort Worth's Cultural District on a 33-acre campus, the UNTHSC is located immediately adjacent to several museums (Amon Carter Museum of American Art, Kimbell Art Museum, Fort Worth Museum of Science and History, Modern Art Museum of Fort Worth, National Cowgirl Museum, and others) and the Will Rogers Coliseum. The UNTHSC campus consists of 1.4 million square feet of facilities housing lecture halls, training rooms, patient care facilities and research labs. UNTHSC is composed of:

- The Texas College of Osteopathic Medicine
- Graduate School of Biomedical Sciences
- School of Health Professions
- School of Public Health
- College of Pharmacy
- Health Institutes — multi-disciplinary research Centers and Institutes
- UNT Health – a 200-clinical provider faculty group practice

It is important to note, UNTHSC has partnered with Texas Christian University to create a joint MD medical school. The inaugural class of 60 students is expected to matriculate in Fall of 2018.

UNTHSC has a number of interdisciplinary Health Institutes, the mission of which is to develop creative solutions to health problems through leading edge, interdisciplinary research. Institutes include: Institute for Cardiovascular and Metabolic Diseases; Institute for Healthy Aging, which includes the Center for Alzheimer's and Neurodegenerative Diseases Research, the Center for Geriatrics, and the Center for Neuroscience Discovery; Mental Sciences Institute and The North Texas Eye Research Institute. UNTHSC also has an active Texas Prevention Institute, and the Texas Center for Health Disparities. UNTHSC also supports developing institutes focused on molecular medicine and patient safety. The institutes provide a platform for faculty with diverse areas of expertise to collaborate on major, interdisciplinary research problems focused on major health issues facing our communities.

The UNTHSC is governed by the University of North Texas (UNT) System Board of Regents, and is a state-supported institution. Other system institutions include UNT-Denton, and UNT-Dallas. The UNTHSC is accredited by the Commission on Colleges of the Southern Association of Colleges and Schools. Each school or program also has professional accreditations.

UNTHSC Values

UNTHSC has put into words and action the values that define how its team acts and works together to reach its goals. These Values are based on the concept of True North—referring to the internal moral compass that all possess. The UNTHSC seeks to build upon the values that its team members have in common and conducted a campus-wide exercise that employed surveys and focus group sessions leading to the formation of a cross-functional and diverse values blueprint team to identify the values already shared.

Their work has resulted in clearly stating the UNTHSC's values, definitions and behaviors that form "Our Values," the document that guides the institution's values journey. Not only do these common values promote a work environment in which all are comfortable, but also an atmosphere in which the UNTHSC can best achieve:

- Our purpose: Transform lives in order to improve the lives of others
- Our mission: Solutions for a healthier community, and
- Our vision: Be an extraordinary team, committed to excellence, unafraid to challenge conventional wisdom

These Values are:

- **SERVE OTHERS FIRST** – Encourage growth, well-being and success of each other and people we serve.
- **INTEGRITY** – Uphold the highest ethical standards.
- **RESPECT** – Treat everyone with dignity and compassion.
- **COLLABORATION** – Work together to achieve shared goals.
- **BE VISIONARY** - Create innovative solutions in the pursuit of excellence.

For detailed information regarding UNTHSC's Values initiatives, please visit https://www.unthsc.edu/values/.

The Opportunity

Position Details

The UNTHSC Chief Compliance Officer (CCO) reports to the President and has direct access to the Audit Committee of the Board of Regents. The CCO is responsible for leadership and guidance in establishing and implementing an effective Compliance Program that addresses regulatory requirements governing UNTHSC. The CCO is responsible for coordinating internal compliance education, training and review, and for monitoring compliance activities to ensure that effective policies and procedures are in place and that UNTHSC is in compliance with applicable statutory, regulatory, and other standards. The CCO works with leadership of UNTHSC to conduct periodic risk assessments to identify potential areas of compliance vulnerability and risk, and acts as an advisor to leadership with respect to all compliance matters. The CCO oversees the administrative conflict of interest management process.

The CCO is a highly experienced compliance professional who leads the compliance program at UNTHSC. The CCO is responsible for overseeing and coordinating a comprehensive Compliance Program addressing the regulatory requirements for research and grant activities and conduct, professional medical services, other highly regulated risk areas, and defined institutional risks, as well as directives from leadership. Supervisory duties include managing the compliance staff. The CCO functions independently and objectively in reviewing and evaluating compliance issues/concerns within UNTHSC and advises and provides guidance on matters relating to compliance.

Opportunities and Challenges

In the coming years, the Chief Compliance Officer will have the opportunity to make an impact in several crucial areas at UNTHSC:

- Conducting baseline assessment to identify gaps and establish compliance infrastructure priorities.
- Standardizing compliance training throughout the organization.
- Establishing standardized approach to regular reviews.
- Transforming the Compliance Council to an active team of compliance champions.
- Implementing a user friendly electronic hotline process.
- Establishing collaborative working relationship with Internal Audit and Office of General Counsel.
- Initiating an ongoing feedback loop on effectiveness of compliance program.

Responsibilities

Responsibilities of the Chief Compliance Officer include:

- Designing and managing the Compliance Program with goal of mitigating legal and regulatory compliance risks in a manner that promotes UNTHSC's mission.
- Designing and managing compliance audit program that addresses risks for each college, institute, school, department and division.
- Coordinating with UNT System Internal Audit department to develop the compliance audit plan related to UNTHSC. The Compliance Work Plan is approved by the Audit Committee of the Board of Regents and includes, but is not limited to: federal grants compliance (time and effort reporting, cost transfers, NIH salary cap, allowability and allocability of charges to federal grants), human subjects research compliance, clinical trials compliance, health care compliance, HIPAA privacy and security, IT security, conflict of interest, Institutional Review Board regulatory and accreditation requirements, IACUC regulatory and accreditation requirements, institutional biosafety regulatory requirements, Select Agent Program regulatory requirements, export control, other areas subject to regulation typical of an academic medical center and consulting related to compliance risk areas.
- Leading, growing and developing the Compliance Office personnel to become an extraordinary team, committed to excellence, unafraid to challenge conventional wisdom.
- Developing a succession plan to cover short- and long-term absences of key leadership positions within the Compliance Office.
- Supervising and providing leadership and oversight for institutional compliance monitoring program. Reviewing the monitoring reports from highly-regulated risk areas to identify any needed enhancements in procedures or internal controls. Working with leadership in conducting periodic risk assessments and identifying potential areas of compliance vulnerability and risk. Incorporating results of monitoring into development of compliance work plan.
- Responding promptly to detected compliance issues from compliance audits and compliance monitoring. Briefing leadership and the Audit Committee of the Board of Regents regarding significant findings from compliance reviews and monitoring results as well as any federal reports or concerning trends indicating a need for broader

institutional remedial action. Advising and partnering with leadership in developing appropriate internal controls and mitigation strategies for areas of improvement identified in compliance reviews and monitoring results.

- Providing data related to compliance audits for incorporation into business manager metrics as applicable.
- Developing, initiating, implementing, maintaining, and revising policies and procedures for the general compliance operation and its related activities to prevent illegal, unethical or improper conduct.
- When reporting to an external agency is necessary, ensuring that federal or state notification takes place and communicating with federal or state agency officials on compliance issues.
- In the context of on-site federal audits of risk areas, acting as primary on-site facilitator to communicate with federal audit team on behalf of UNTHSC and coordinating any response to findings.
- Instituting and maintaining an effective compliance communication program for UNTHSC, including promoting the awareness and understanding of new and existing compliance issues and related policies and procedures. Ensuring faculty, staff and vendors receive training and sign acknowledgement of Code of Ethics/Standards of Conduct. Ensuring code of conduct and compliance program creates an environment and culture whereby management, faculty, and employees report suspected fraud, misconduct and other improprieties without fear of retaliation. Developing and delivering compliance training, including the elements of the compliance program. Providing training on specific regulatory risk areas as needed and/or requested.
- Collaborating with Internal Audit regarding the hotline for anonymous reporting of compliance issues and protection of whistleblowers.
- Investigating and act on matters related to reported or suspected non-compliance, including design, coordination and conduct of internal investigations (e.g., responding to reports of problems or suspected violations) and any resulting corrective action. Coordinating with Office of General Counsel for those investigations that should be conducted under attorney-client privilege.
- Providing advisory services and compliance oversight related to required regulatory research review committees. Periodically conducting compliance reviews of these committees to ensure compliance with regulations. Making recommendations to the Chairs of these committees and leaders of pertinent offices supporting these committees regarding any aspects of compliance.
- Providing oversight, advisory services, and coordination with the healthcare compliance officer to support and ensure effective healthcare compliance.
- Serving on the Radiation Safety Committee and reviewing required regulatory reports. Conducting periodic assessments of the program to ensure compliance with pertinent federal and state regulations and license requirements.
- Acting as an advisor or internal consultant to highly-regulated areas of UNTHSC colleges, institutes, schools, and departments in their efforts to interpret and comply with laws, regulations, statutes and contract provisions that may affect their functional areas to assist in the establishment of internal controls to reduce the vulnerability to regulatory violations, fraud, or abuse.
- Performing all other duties as assigned.

Candidate Qualifications

Qualifications
Successful candidates for the CCO position will possess:

Required:

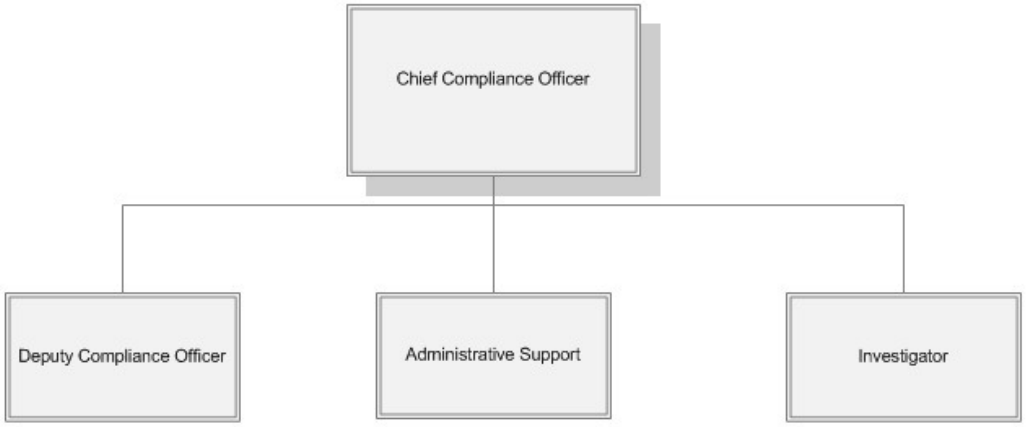
- An advanced degree (Masters or above).
- Fit with the UNTHSC values.
- A minimum of seven years of compliance experience in an academic research or healthcare environment, with training/experience in OMB Circular A-21 federal grants compliance, human subjects research, HIPAA/HITECH, clinical trials, healthcare compliance (including healthcare billing compliance), responsible conduct of research, regulatory affairs, lab safety and biosafety and environmental health and safety.
- Thorough knowledge of healthcare and research compliance and the regulatory requirements impacting an academic medical center with significant focus on research and demonstrated success of working with Leadership to integrate compliance into daily operations.
- Visionary, collaborative leadership experience leading teams in a complex organization.
- Demonstrated experience managing a comprehensive Compliance Program, including developing and implementing appropriate training and internal monitoring activities, and an experienced team of compliance professionals.
- Demonstrated credibility and effectiveness in interacting with leadership, research administration, investigators, faculty and staff, and outside regulatory officials.
- Excellent oral and written communication skills.

Preferred:

- A Juris Doctorate is strongly preferred.
- Experience with Audit Committee of Board of Regents or Board of Directors.
- Progressive responsibilities in a comprehensive compliance program, preferably in an academic medical center or health science center setting, and an understanding of the complexities and operational processes associated with a large and complex research portfolio including the ability to assess and appropriately calibrate the levels of risk associated with specific types of issues.
- Experience with higher education compliance requirements such as Clery Act desired.

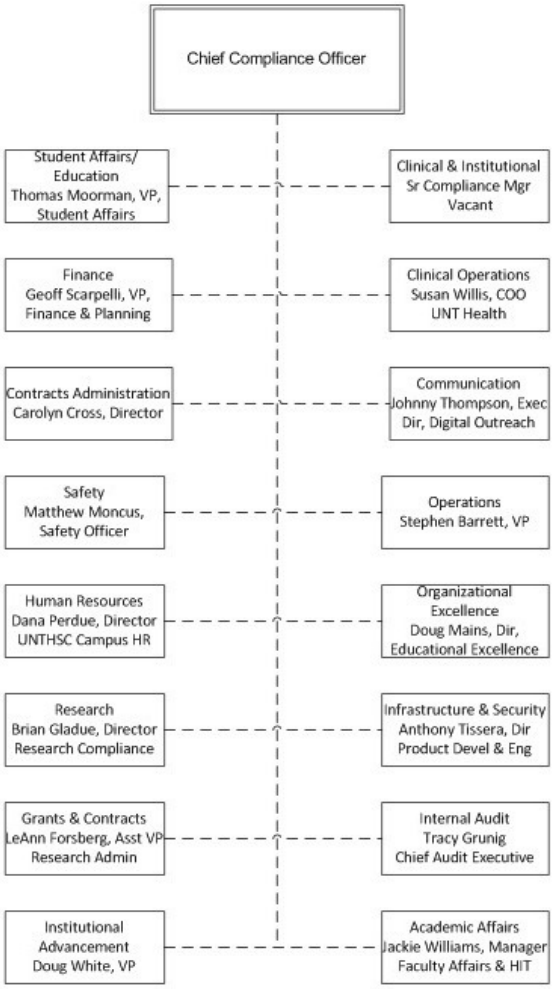
Organizational Charts

Institutional Compliance
Proposed FY 2017 Organizational Chart



UNT HEALTH SCIENCE CENTER

Institutional Compliance Council
FY 2016 Organizational Chart



UNT HEALTH SCIENCE CENTER

Procedure for Candidacy

Application / Nomination Process

The Search Committee will begin reviewing applications immediately and will continue to accept applications and nominations until the position is filled. Applicants must submit a current resume (required), curriculum vitae (optional), along with a letter of interest describing relevant experience and interest in the position. Submission of materials via e-mail is strongly encouraged. Nomination letters should include the name, position, address and telephone number of the nominee. All nominations and applications will be handled in confidence.

Applications and letters of nomination should be submitted to:

Alberto Pimentel, Managing Partner
Storbeck/Pimentel & Associates
6512 Painter Avenue
Whittier, CA 90601
562-360-1353 (FAX)

Email: apsearch@storbeckpimentel.com
Refer to code "**UNTHSC-CCO**" in subject line

The University of North Texas System is firmly committed to equal opportunity and does not permit - and takes actions to prevent - discrimination, harassment (including sexual violence), and retaliation on the basis of race, color, religion, national origin, sex, sexual orientation, gender identity or expression, age, disability, family status, genetic information, citizenship or veteran status in its application and admission processes, educational programs and activities, facilities, and employment practices. The University of North Texas System immediately investigates and takes remedial action when appropriate.

The University of North Texas System also takes actions to prevent retaliation against individuals who oppose a discriminatory practice, file a charge, or testify, assist or participate in an investigative proceeding or hearing.

Community Profile

Fort Worth, Texas is the 16th-largest city in the United States and one of “America’s Most Livable Communities.” Today, the city is a thriving center of culture and commerce, and visitors are often surprised by everything Fort Worth has to offer: the Historic Stockyards, remarkable museums, a dazzling downtown area, Texas Motor Speedway, spectacular annual events and more.

Fort Worth is the fifth-largest city in the state of Texas and covers nearly 300 square miles, serving as the county seat for Tarrant County. Fort Worth has a population of approximately 800,000 and is contiguous to the Dallas-Fort Worth-Arlington metropolitan area commonly known as the Metroplex. Fort Worth and the surrounding Metroplex area offer numerous business opportunities and a wide array of attractions.

Established originally in 1849 as a protective Army outpost at the foot of a bluff overlooking the Trinity River, the city of Fort Worth today still embraces its western heritage and traditional architecture and design more than its more contemporary neighbor, Dallas. Once a stop along the legendary Chisholm Trail, Fort Worth became the center of the cattle drives and earned it the nickname “Cowtown.” Today, the Fort Worth Stockyards has been designated as a Historic District and is filled with restaurants, clubs, gift shops and attractions such as daily longhorn cattle drives through the streets, historic reenactments, the Texas Cowboy Hall of Fame and Billy Bob’s, the world's largest country and western music venue.

Downtown Fort Worth is mainly known for its art deco style buildings. The Tarrant County Courthouse was created in the American Beaux Arts Design, which was modeled after the Texas Capitol Building, and most buildings around Sundance Square have preserved their early 20th century facades.

The Cultural district, where UNTHSC is located, includes several well regarded art museums, theaters, and music venues:

- The **Modern Art Museum** of Fort Worth, founded in 1892, is the oldest art museum in Texas. Its permanent collection consists of some 2,600 works of post-war art. In 2002, the museum moved into a new home designed by Japanese architect Tadao Ando.

- The **Kimbell Art Museum** houses works from antiquity to the 20th century. Artists represented in its holdings include Caravaggio, Fra Angelico, Picasso, Vigée-Lebrun,

Matisse, Cézanne, El Greco, and Rembrandt. The museum's home was designed by American architect Louis Kahn.

- The **Amon Carter Museum** focuses on 19th and 20th century American artists. It houses an extensive collection of works by Western artists Frederic Remington and Charles M. Russell, as well as an impressive collection of 30,000 exhibition-quality photographs. It also includes works by Alexander Calder, Thomas Cole, Stuart Davis, Thomas Eakins, Winslow Homer, Georgia O'Keefe, John Singer Sargent, and Alfred Stieglitz. American architect Philip Johnson designed the museum's home, including its expansion.

- The **National Cowgirl Museum and Hall of Fame** is the only museum in the world that is solely dedicated to honoring women of the American West who have demonstrated extraordinary courage and pioneer spirit in their trail blazing efforts.

- The **Fort Worth Museum of Science and Industry** - One of the largest Science and History Museums in the Southwest. It includes the Noble Planetarium and the Omni Theater.

- **Will Rogers Memorial Center** - a multi-purpose entertainment complex and world-class equestrian center housed under 45 acres of roof spread over 85 acres in the heart of the Fort Worth Cultural District. Each year approximately 800,000 people attend the three week event known as the Southwestern Exposition and Livestock Show, formerly called the Fort Worth Stock Show & Rodeo.

- **Casa Manana** - The nation's first theater designed for musicals "in the round."

The Parks district of Fort Worth boasts these additional attractions:

- **Fort Worth Zoo** - Ranked one of the top 10 best zoos in the United States by Family Fun magazine
- **Fort Worth Botanical Garden** - The oldest botanic garden in Texas, with 21 specialty gardens and over 2,500 species of plants.
- **Log Cabin Village** - A collection of authentic Texas log cabins dating from the 1850s.
- **Trinity Park** - A large park along the Trinity River that includes part of the Trinity Trails system.

Fort Worth has several institutions of higher education in addition to UNTHSC:

Texas Christian University
Brite Divinity School
Tarrant County College
Texas Wesleyan University
Southwestern Baptist Theological Seminary
University of Texas at Arlington, Fort Worth Center
Texas A&M University School of Law

For additional information on Fort Worth, please visit the following websites:

http://www.fortworth.com/
http://www.fortworthgov.org/
http://www.city-data.com/city/Fort-Worth-Texas.html
http://www.fortworthchamber.com/