

## **THINKING ABOUT COMPLIANCE AS A CAREER? Frequently Asked Questions**

### ***How Do I Enter the Compliance Profession?***

There are three basic ways to enter the compliance profession:

1. Demonstrate work experience that shows you have been successful in at least 2 or 3 of the following functional areas for any major compliance content area:
  - a. Analysis of laws, regulations, relevant case law, applicable technical guidance from cognizant agencies, development of institutional policies, and management of the policy implementation process
  - b. Development of education and outreach programs to communicate compliance policies and standards; delivery of training across institutional constituencies; design and administration of web-based outreach for compliance education
  - c. Development, implementation and reporting of auditing/monitoring activities to demonstrate effectiveness of internal controls and institutional compliance
  - d. Receipt, analysis, triaging of compliance complaints, inquiries, and requests for consultation
  - e. Investigation and reporting of compliance complaints
  - f. Development and implementation of compliance risk assessments
  - g. Development and implementation of program effectiveness assessments
  
2. Demonstrate familiarity (for entry-level positions) or advanced knowledge (for higher level positions) of at least one major compliance content area relevant to the organization, e.g.,
  - a. Clinical billing
  - b. HIPAA, FERPA
  - c. Information Security
  - d. Animal and/or Human Subjects Protection
  - e. Health and Safety
  - f. Joint Commission or Graduate Medical Education accreditation standards
  - g. Post-Award Research Compliance
  - h. Research Conflict of Interest, Export Controls, Effort Reporting
  - i. Affirmative Action/Equal Opportunity
  - j. ADA/504 (disability compliance)
  - k. Stark/Anti-Kickback
  - l. Contract Compliance
  - m. Banking
  - n. IT Standards
  - o. Intellectual Property
  - p. FDA requirements

- q. Financial and Cost Management
  - r. Business ethics
  - s. Emergency preparedness
  - t. Construction/facilities
  - u. Records Management
3. Demonstrate transferable functional or content knowledge/success acquired from experience in a relevant area that requires similar programmatic development and implementation responsibilities , e.g.,
- a. Risk Management
  - b. Internal Audit
  - c. Pre- and post-award research administration
  - d. Accreditation (joint commission, education programs, residency programs)
  - e. Clinical trials administration
  - f. Medical records
  - g. Highly regulated clinical medicine services
  - h. Human resources
  - i. QA/QI

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