

Working Title Director		Name	
Position Number	Division, Branch/Unit Finance/Financial Reporting/ACAU	Ministry Primary and Preventative Health Services	
Present Class	Requested Class n/a	Levels to Deputy Minister (Not including incumbent level)	
Dept ID	Program Code	Project Code (if applicable)	

**POSITION SUMMARY:** Briefly describe the main purpose of the position, and why it exists for the most part (See Management Job Description Writing Guide, Page 7).

Reporting to the Executive Director, Financial Reporting Branch, the incumbent, Audit and Compliance Assurance Unit (ACAU), provides strategic leadership in the identification, development and implementation of effective audit and compliance monitoring activities to build confidence in the Alberta Health Care Insurance Plan and public health system. The incumbent provides approvals, strategic planning, prioritization guidance and leads continuous improvement activities to accomplish audit and compliance objectives. This includes introducing, reviewing and approving effective risk management and analytical processes, aligned with best practice as well as the strategic priorities of the Primary and Preventative Health Services (PPHS) Ministry. The incumbent is expected to lead and champion communities of practices in audit, compliance and risk management across the department, with key stakeholders (CPSA, AMA, HIU and AHS) and provide holistic effective advice to inform policy and legislative decisions. For the audit team, this encompasses setting the level and extent of compliance audit and review; the goals and strategies of adding new or modifying existing compliance review activities; and/or the implementation of organizational project-driven change initiatives. The program is designed with the goal of providing assurance that current expectations, regulations and legislation are being followed, promoting improvements within the system, and notifying senior management when significant risks are identified. This requires skilled interpersonal communications and persuasive leadership to support ongoing enhancement to audit processes as well as ongoing collaboration with internal partners to effect appropriate system changes.

This position assists in the determination of the Ministry's priorities for compliance and monitoring through oversight of the audit program, including the assessment and measurement of the nature of the overall risk within a program to provide assurance, promote public confidence and meet legislative requirements. The work of the Unit is largely focused on, but not limited to, authorities under the *Alberta Health Care Insurance Act* (AHCIA) related to health service providers (e.g. physicians) and recipients. This position is accountable for effective outcomes from compliance monitoring through audit, compliance reviews, reassessment of claims, and recovery of fee-for-service billing as well as audit of department programs as required and links closely with the College of Physicians and Surgeons and the Alberta Medical Association.

This position oversees the development of compliance analytics strategy that leverages the power of information technology for available health data to discern potential improprieties that warrant further review. The incumbent also leads the formulation of the broad audit and compliance review strategies to prevent and detect possible improprieties. The preventative measures require strong liaison with policy areas to ensure that effective strategies can be introduced while honouring agreements and legislation. Compliance work is to be conducted in a manner consistent with professional standards and efficacy. Issues management is also required, with significant findings of risk appropriately quantified, with appropriate remedial actions identified in a timely manner that is consistent with professional practice and legal requirements. The position must also consider and introduce audit and monitoring strategies based on future long term needs that are anticipated and/or projected from the direction of government health care.

This position is responsible for developing an integration framework for compliance teams in the planning, delivery and reporting of internal reviews, designed to address high-risk assurance and advisory service to the various program areas within PPHS. These services are intended to improve management of the Department's oversight of compliance assurance

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activities. The incumbent assists department staff in accomplishing their objectives by bringing a systematic, disciplined approach to the evaluation of and recommendations for improved risk management, controls and governance. The position works very closely with other senior leaders in the Department responsible for risk management, analytical and monitoring functions. This will include coordinating work with other audit and assurance processes provided in the Ministry to present coordinated and consistent results for senior leadership consideration and action.

The position models a highly collaborative approach when interacting with senior and executive representatives of internal and external stakeholders. Ministry perspectives and positions are represented by the incumbent on multiple cross-divisional/ministry or cross-jurisdictional committees and initiatives.

**SPECIFIC ACCOUNTABILITIES:** List the most important end results or outcomes of the position and how they are achieved. Each end result shows what the position is accountable for, within what framework and what the added value is. Normally a position has 4-8 core end results. For each end result approximately 3-6 activities should be described (See Writing Guide [Page 8](#)).

- Provide strategic direction to the Unit in the identification, development and implementation of compliance, monitoring and risk management methodologies, policies and processes to ensure targets and timelines are met and align to ministry goals.
- Ensure department risk management and audit principles, policies and guidelines are relevant and add value to the Ministry and are in alignment with GOA risk policies and adhere to the Office of the Auditor General and Central Internal Audit Risk management criteria.
- Build and present business cases to rationalize recommendations to move in new or expanded directions (e.g., how will new Ministry business and priorities be accommodated? What areas of expansion are most valuable?).
- Influence the Ministry's programs, systems and policies with compliance requirements by utilizing the reported findings to direct the proper attention to issues and concerns that must be addressed in the broader health system context.
- Provide concise, well-written evidence-based support for recommended courses of action.
- Provide direction in the development of policies, guidelines and processes for the appropriate integrative reporting for compliance, monitoring and review functions within PPHS Ministry. This will include developing an appropriate framework that outlines cohesively the following:
  - Establish Ministry governance processes to ensure compliance activities, including but not limited to third-party reviews, internal compliance reviews, and internal audits, are appropriately reported to ADMs, the DMs and Minister to ensure that recommendations are addressed.
  - Processes for coordinating compliance and monitoring programs to ensure duplication is limited.
  - Demonstration that risk areas noted by the Department are appropriately considered and addressed through monitoring (e.g. through the Enterprise-Risk-Management (ERM) process as well as priorities outline through strategic planning and legislative review).
- Ensure audit and monitoring processes and best practices are clearly documented particularly in areas where the Department expends significant resources on compliance monitoring activities.

Lead specific initiatives to enhance branch functions, in particular audit planning and scope.

- Build and sustain strategic networks with internal and external stakeholders to identify emerging trends and opportunities that may impact the audit universe, scope and priorities (e.g., other ministries, professional associations, health care organizations).
- Recommend options and strategies to facilitate achievement of branch plans and proactively shape the direction of the branch, such as enhancing the monitoring function.
- Seek opportunities for collaboration where audits and investigations involve different stakeholders within PPHS , the Government of Alberta (GOA) or outside the GOA.
- Engage senior leadership and staff support in business and operational planning, progress monitoring and evaluation, and communications. Provide status updates and timely priority alerts to executive ministry leaders as well as advice and support to specific queries.
- Represent the perspectives of the branch, division, or ministry on cross-ministry committees as Chair, Co-chair or team member.

Build and maintain high performance, knowledge based, adaptable professional staff and teams

- Mentor and develop high performance teams that are grounded in specific subject matter expertise yet flexible

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enough to take on new work projects and assignments in new pioneering areas.

- Maintain current knowledge of industry business and trends with focuses on publicly delivered health services, audit/accounting, and information technology.
- Build relationships with other branches to increase collaboration in reducing preventable risks of waste, fraud, and /or error that will contribute to trusted health system operating with integrity.
- Review and approve various reports and responses (e.g., Action Requests, Briefing Notes) prior to submission to the Executive Director and the ADMs office.
- Identify opportunities for innovation, continuous improvement in unit/branch service delivery and operations.
- Develop and implement processes that follow professional practice frameworks.
- Provide advice and recommendations to ministry senior leaders to inform decision-making and to shape responses (e.g., compliance assurance strategy; evolution and enhancements to risk mitigation, audit and investigations).

**KNOWLEDGE/EXPERIENCE:** Include information on required diplomas and degrees along with identifying the most important knowledge factors, including knowledge about practical procedures, administrative, specialized techniques, etc. Detail specific training if there is an occupational certification/registration requirement for the position. Specify the type of experience required for the position (see Writing Guide [Pages 9-10](#)).

#### Knowledge

- In-depth and practical knowledge in the following areas: audit/accounting/risk management principles, practices and protocols; PPHS /Government of Alberta legislation; strategic and operational business /financial planning processes and how these are applied to formulate policy and programs.
- Working knowledge of the Ministry, which includes understanding the governance and political dynamics within the provincial health system and the relationships the ministry has with Alberta Health Services and other ministries
- Current knowledge of emerging trends in audit (and the specialized field of health care audit/fraud), the use of information technology (i.e. audit/analytics software), trends in health care service delivery and insurance; how these environments apply, and how they are impacted by risk management, audit/governance, and information technology.
- Knowledge of stakeholder groups and their perspectives and priorities.
- Knowledge of project management methodologies and approaches.
- Knowledge of strategic planning, change management and leadership approaches and methods.
- Knowledge of the AHCIA and supporting regulations.
- Understand the implications of applicable legislation in particular the *Financial Administration Act*, *POPA*, *Health Information Act* and *Government Accountability Act*.
- Knowledge of stakeholder groups and their perspectives and priorities.
- Knowledge of the policy development processes within the ministry and GOA.

#### Skill/Abilities

- Strong planning, analytical thinking and problem solving skills scalable to immediate detailed scenarios and/or longer term broader issues
- Ability to adapt, innovate and transform theoretical concepts into practical ideas
- Excellent interpersonal and communication skills in interacting with all organizational levels with varied understanding of risk management and audit related issues; ability to interact (collaborate, establish relationships) with a variety of external and internal clients at different organizational job levels
- Self-directed and initiates ideas and work deliverables in anticipation of new business requirements
- Strong organizational and time management used to manage competing priorities
- Demonstrated skills and abilities in knowledge management, team building, mentoring and facilitation.
- Highly competent relationship skills encompassing negotiation, mediation and conflict resolution
- Capability to apply professional judgment in a decisive manner with appropriate factoring of political/ organizational sensitivity and materiality.
- Ability to deliver client focused, value added, timely and cost effective professional consultative services.

#### Education and Experience

- A graduate degree in business, information technology, or securities and/or an Audit Designation.



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- Over 8 years progressive management experience in the public sector with experience in risk management and/or internal auditing or finance and/or business planning.

**LEADERSHIP AND BUSINESS KNOW-HOW:** Specify the level of integration, organization and leadership skills required to produce the results expected of the position. Provide recent examples (See Writing Guide [Pages 10-11](#)).

The incumbent is expected to apply keen business acumen towards the management of the unique compliance audit function to ensure that it stays current and relevant to the ongoing challenges faced by the Ministry. This position provides leadership and direction on approaches to enhance compliance monitoring across the health care systems through audit and investigation processes. These are areas that are expanding and maturing, requiring the incumbent to be able to direct that growth in line with ministry priorities and also to shape ministry priorities through innovative ideas and strategies. This position provides the strategic framework in which unit functions occur, requiring highly developed strategic and systemic thinking skills along with sound planning and visioning skills.

Unit functions are inter-connected with the work of other internal and external stakeholders (E.g., branches, divisions, ministries, health care providers, organizations such as AHS, professional associations). This position fosters mechanisms for collaboration and information sharing with stakeholders. Internally, this position provides vision and planning to guide the work of the unit.

Leadership skills include:

- Advanced strategic and systems thinking skills to develop options for the future direction of the ministry and health care system with consideration of multiple facets (e.g., audit, monitoring, investigations, reporting needs).
- Ability to consider and plan for how policies, processes, and methodologies might be affected in the short, medium, and long-term and to respond appropriately.
- Advanced relationship and network building skills and experience to consult and negotiate with senior stakeholders, clients and government representatives with varying perspectives, expectations and priorities.
- Effective communication skills capable of converting conceptual ideas into pragmatic operational solutions that can be embraced within the Ministry and by the health system.
- Strong team and human resource leadership skills to develop resources and foster a cohesive team.
- Interpersonal and influence skills to promote innovation, build consensus, and motivate others to accept and apply new concepts.
- Judgement to determine what adds value in the branch

**PROBLEM SOLVING:** Describe difficult or challenging situations the position is typically expected to solve; the degree of originality of the solutions; and the assistance available (See Writing Guide [Pages 11-12](#)).

The work of this position is focused at a strategic level to enhance proactive and reactive risk identification, audit, review, and monitoring of health care. The unit operates in an environment where often no blueprint exists nor is external guidance available, yet there is an expectation to provide leading edge solutions to the highly complex operational problems. An example of such a challenge occurs when different legislation/policies conflict and impede compliance monitoring and audit activity. Decisions made by the incumbent are complex and impact the health system including where and when to enhance compliance monitoring functions and how to enable broad policy levers to address large spectrum compliance issues.

This position is accountable to provide strategic advice and recommendations to the ADM and other Ministry leaders; there must be confidence in the validity, accuracy and rigour of the evidence that support advice and recommendations (e.g. logic models, research and analysis plans). The obligation to verify the proper payment or use of public money for health services may be restricted by information access or disclosure. Such circumstances requires the incumbent to use considerable analytical and evaluative thinking to identify options and strategies to address major issues or advise on risk assessment/migration options; and to plan for and implement new operational compliance programs within broad concepts gauging probable impacts and ensuring collaboration with external stakeholders (AHS, GOA Ministries, practitioner colleges & associations and other ministry divisions/branches). This position builds confidence based on processes that

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are fair and are utilized to guide the compliance work of the ministry. Solving problems requires a strategic approach, utilizing and drawing on a network of contacts as problems and solutions are unknown with little precedence. The key is in the development of strategies, initiatives, programs, activities, and information, which provides practical, effective and innovative solutions that ensure sound sustainable compliance programs. These developed tactics must also motivate action on the part of stakeholders and partners while curtailing any excuses that may be used to misdirect attention from non-compliance behaviours i.e. lacking of funding or shortage of staff resources.

The position works within clearly defined regulations, legislation and guidelines and auditing procedures. Detailed technical auditing and issues management problems are sometimes non-conforming, without clear precedents for solutions requiring analytical, interpretative, evaluative thinking for example complex fee/cost implications and issues. New directions and strategies are pioneered without any direct precedents or previous experience.

Assistance is available form broad direction and guidance provided by the ADM, consultation with peers and branch staff; and sound analysis and critical thinking. This position is impacted by the requirement to balance needs of the compliance programs with program area policies, compliance practices and consistency across the business streams.

**RELATIONSHIPS/CONTACTS:** Identify internal and/or external clients, partners and stakeholders with whom your position communicates and indicate the frequency, purpose and nature of the contact (i.e. how they are affected by recommendations, decision-making and action(s) taken) (See Writing Guide [Pages 12-13](#)).

Clients	Frequency	Nature and Purpose of Contact
<b>Internal</b>		
Executive Director	Daily - weekly	Provide advice on or respond to issues, as appropriate; provide updates/receive direction on actions; raise awareness to strategic opportunities and threats of significance to engage executive ministry attention
Division Executive Directors	Weekly	Collaboration, integration, advice, recommendations regarding directions, planning, performance, management, issues
Executive Directors (other divisions or in other ministries)	Varies (weekly-bi-weekly)	Share information, collaborate with and support business functions, contribute to joint activity; Partnerships on cross-ministry research and knowledge management initiatives
Branch Management Team	Daily - weekly	Advice, coaching, direction/information sharing re specific areas of responsibility, collaboration, knowledge exchange, leadership/direction/support in meeting branch/ministry goals and strategies
Branch Staff	Monthly	Provide branch vision and priorities; information sharing, collaboration, knowledge exchange
Office of the Deputy Minister and Office of the Minister	As required	Respond to queries for advice / information including updates on matters of importance to Deputy Minister or provide briefings (verbal / written) to Deputy Minister /Executive Committee
<b>External</b>		
Executive staff, health professionals, professional organizations, universities, researchers	Weekly	Obtain input, feedback on proposals, strategic directions, issues, priorities; partnerships on health services research initiatives and application of evidence in decision-making;
Provincial and national organizations contributing to health system performance	Monthly	Partnerships on provincial/national initiatives; seek leading practices;

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Clients	Frequency	Nature and Purpose of Contact
Regulatory bodies: College of Physicians & Surgeons of Alberta (CPSA), Alberta College of Pharmacists, etc.	As required	Initiate contact to discuss/resolve issues and/or respond to data and information requests
Alberta Medical Association	As required	May be responsive such as action requests or discuss/resolve understandings of inappropriate claims
Alberta Health Services: (e.g., executive and senior leaders)	As required	Share information / obtain information / collaborate / problem solve on issues; Seek appropriate input to for the development of strategies; Facilitate shifts in policy or standard or information management frameworks/systems etc.
Office of the AG	As required	Provide information to OAG initiatives; align branch activities to meet OAG needs
Consultants	As required	Engage and oversee the management of contracts; review and approve deliverables

**IMPACT AND MAGNITUDE OF JOB (SCOPE):** Identify how the position directly affects results, and the extent to which stakeholders are affected by those results. Provide recent examples (See Writing Guide [Pages 13-14](#)).

This position is responsible for a very diverse compliance program framework, including the definition of strategies, actions and results and integrity of information developed by the Unit. The strategies and processes that are developed and implemented by this position have a significant impact on the overall accountability of the ACHIP and other applicable legislation. Poor outcomes from compliance assurance or risk management / audit and compliance review processes may significantly increase costs and affect the quality of Alberta's health services. This work impacts current and long-term priorities and directions of the ministry and the health care system.

Input into the regulatory processes helps to form the risk and control framework and infrastructure in which the branch operates. The decisions and directions of the position have both external and internal impacts. Most of the results stemming from issues and concerns are externally focused, impacting individual physicians and/or groups of physicians (e.g. practice specialities, practitioners of particular or general type health delivery sites; Alberta Medical Association, College of Physicians and Surgeons); individuals (in the context of Alberta residents vs. non-residents; patients whose services fall within a health service type or site). Periodically audit results can assume an internal focus on business practices performed by specific areas of the Ministry (e.g. Program delivery over PCNs, ARPs and SOMB).

The incumbent leads the design, development and implementation of audit and risk management compliance programs; and oversees their implementation. This position is forward looking to anticipate trends and future demands that will impact existing function and responsibilities in order to prepare the branch to take on "new business". In the last few years, the Unit has been called upon by other Divisions to provide audit services which might otherwise require external contracting. Examples of such engagements include the review of the cold management process over flu vaccines and the audit of a non-hospital surgical facility contractually engaged by AHS to provide surgical services. The Incumbent makes the arrangements to perform these audits as well as provide the guidance to both the client areas and Unit staff to complete such unique assignments.

**CHANGES SINCE LAST REVIEW:** Identify significant changes, that have impacted the major responsibilities and accountabilities assigned to your position since the last review (See Writing Guide [Page 14](#)).