

How the "Three Amigos" of a Compliance Program
Can Work Together to Support and Advance an
Effective Compliance Program



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About the Speakers

Bill Wong, CHC, CHPC, CCS, CPC, CPMA, CDEO
Sr. Coding & Compliance Educator/Auditor
Providence Health & Services

Walter Johnson, CHC, CHPC, CCEP, CCEP-I
Director of Compliance & Ethics
K-Force Government Solutions

Frank Ruelas
Facility Compliance Professional
St. Joseph Hospital & Medical Center

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Let's meet the Three Amigos!





Compliance Officer

- Develop, modify, implement compliance policies and procedures
- Administer compliance activities
- Monitor system wide compliance with the Code of conduct

Source: Health Care Compliance Association
Job Description: Compliance Officer



Compliance Officer (continued)

- Maintain compliance reporting systems
- Evaluate, investigate, and document report of non compliant activities
- Coordinate internal compliance investigations and routine audit



Compliance Officer (continued)

- Coordinate internal compliance investigations and routine audit
- Develop and review compliance education program
- Serve as coordinator for external investigations and inquires related to the program
- Report compliance issues and activities on a regular basis to Board of Trustee



Human Resources Director (continued)

- Annually reviews and makes recommendations for improvement of the organization's policies, procedures and practices on personnel matters.
- Maintains knowledge of industry trends and employment legislation and ensures organization's compliance.
- Maintains responsibility for organization compliance with federal, state and local legislation pertaining to all personnel matters including AA/EEO compliance and labor relations.

Source: Society for Human Resource Management
Job Description: Director of Human Resources



Human Resources Director (continued)

- Coordinates or conducts exit interviews to determine reasons behind separations.
- Consults with legal counsel as appropriate, or as directed by the CEO, on personnel matters.
- Recommends, evaluates and participates in staff development for the organization.
- Participates on committees and special projects and seeks additional responsibilities.



Legal Counsel

- Give accurate and timely counsel to executives in a variety of legal topics (labor law, partnerships, international ventures, corporate finance etc.)
- Collaborate with management to devise efficient defense strategies
- Specify internal governance policies and regularly monitor compliance
- Research and evaluate different risk factors regarding business decisions and operations

Source: Society for Human Resource Management
Job Description: Director of Human Resources



Legal Counsel (continued)

- Apply effective risk management techniques and offer proactive advise on possible legal issues
- Communicate and negotiate with external parties (regulators, external counsel, public authority etc.), creating relations of trust
- Draft and review legal documents to ensure the company's legal rights
- Deal with complex matters with multiple stakeholders



Legal Counsel (continued)

- Provide clarification on legal language or specifications to everyone in the organization
- Conduct your work with integrity and responsibility
- Maintain current knowledge of alterations in legislation

Scenarios Ours and Yours

Which Amigo to Involve?

	Compliance	HR	Legal
Who?	✓	✓	✓
What?	✓	✓	✓
Where?	✓	✓	✓
When?	✓	✓	✓
Why?	✓	✓	✓
How?	✓	✓	✓




















