Compliance Committee Functions

HCCA Hawaii Regional Conference
Lea Fourkiller, JD, CHC, CHCPC, CCEP, CCEP-I
Ankura Consulting
Lea.Fourkiller@Ankura.com

Management Compliance Committee can be an effective addition to a compliance program

• Formation and Composition of Your Compliance Committee
• Gaining Support and Commitment for your Compliance Committee
• Compliance Professionals Role with the Compliance Committee
• The Management Compliance Committee Functions
Formation and Composition of Your Compliance Committee

Specific Composition Varies

Depends on Your Organization
Need Varying Perspectives....... 

- CEO/President
- Operations
- Finance
- Audit
- Business Development
- Risk Management

- Human Resources
- Legal
- Employees of Key Operating Areas
- Managers of Key Operating Areas

Gaining Support and Commitment for your Compliance Committee
Why are we meeting...

Board Directive
Charter
Purpose of Meeting
Schedule Meetings
Agenda
Provide Meeting Materials in Advance
Talking Head
What’s in it for me?

Data and Presentations

- Relevant Data
- Schedule Frequency of Reports for the Year
- Track and Trend Data
Compliance Professionals Role with the Compliance Committee

Meetings........
Need to Be Engaging
Meet Organizations Needs
  Remote Services
  Global
  Breadth of Organization
Start and Stop on Time
Presentations are Timely and Relevant
Data is Easy to Understand and Communicate
Most Beneficial Meeting They Will Attend
Compliance Professional.....

Role Will Vary
Sits ex officio
Chair
Schedule Meetings
Preparing the Agenda
Taking and Distributing Minutes
Coordinating Follow-Up

The Management Compliance Committee Functions
Functions.....

• Assisting in the development and approval of polices and procedures
• Monitoring internal systems related to standards, polices and procedures
• Reviewing industry guidance and new information regularly and integrating it into the compliance program
• Determining appropriate strategy to promote compliance
• Developing a system to solicit, evaluate and response to complaints and problems

Formation....
Look for Committed Individuals
Strong and Visible Vocal Advocates
Represents each Unique Department
Provide Communication Back to Their Departments
Vital Source of Information
Provide Business Insight
Aid and support compliance professional
Analyzing legal requirements, with legal on specific risk areas
Regularly reviewing and assessing accuracy of and adherence to polices and procedures
Assisting in the development of the standards of conduct

Questions?

Thank You!