

Compliance Committee Functions

HCCA Hawaii Regional Conference
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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



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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?



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Data and Presentations

- Relevant Data
- Schedule Frequency of Reports for the Year
- Track and Trend Data



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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



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Compliance
Professional.....

Role Will Vary

Sits *ex officio*

Chair

Schedule Meetings

Preparing the Agenda

Taking and Distributing
Minutes

Coordinating Follow-Up



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The Management Compliance Committee Functions

Functions.....

- Assisting in the development and approval of policies and procedures
- Monitoring internal systems related to standards, policies 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



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Aid and support compliance professional

Analyzing legal requirements, with legal on specific risk areas

Regularly reviewing and assessing accuracy of and adherence to policies and procedures

Assisting in the development of the standards of conduct



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Questions?

Thank You!