

Getting the Most out of Compliance Committees

Resources

Paula Saddler, Margaret Steenrod, Ann Dunham

8/4/2014

This is an summary of resources found on the websites of the Health Care Compliance Association, the Society for Corporate Compliance and Ethics, and other websites concerning the functioning of Compliance Committees. It is a handout for the course 706 on "Getting the Most out of Compliance Committees" presented at the Compliance and Ethics Institute of the SCCE held September 14-17th, 2014 in Chicago, Illinois.

TABLE OF CONTENTS

Contents

COURSE 706 - GETTING THE MOST OUT OF COMPLIANCE COMMITTEES 3

RESOURCES 3

HCCA AUDIT & COMPLIANCE COMMITTEE CONFERENCE 4

 MONDAY HANDOUTS 4

 Introduction to Healthcare Risk Areas & Compliance 4

 Committee Charter: The Role and Responsibility of the Audit and Compliance Committee..... 4

 Setting the Tone at the Top: Board Leadership in Healthcare Compliance..... 4

 Internal Audit, Compliance & the Audit Committee..... 4

 Audit & Committee Conference 4

 Role and Responsibility of the Audit & Compliance Committee 5

 Health South—Lessons for Board Members, Audit & Compliance Committees, and Senior Leadership 5

 Compliance Committee 5

 Compliance Committee Job Description..... 5

 Compliance Committee Charter (See handouts) 5

THE RELATIONSHIP BETWEEN THE BOARD OF DIRECTORS AND THE COMPLIANCE AND ETHICS OFFICER . 5

COURSE 706 - GETTING THE MOST OUT OF COMPLIANCE COMMITTEES

RESOURCES

Office of the Inspector General, U.S. Department of Health and Human Services and the American Health Lawyers Association (2010): "The Health Care Director's Compliance Duties: A Continued Focus of Attention and Enforcement." *American Health Lawyers Association/Office of Inspector General Governance Resources*, accessed March 14, 2014. Available at <http://www.healthlawyers.org/hlresources/PI/InfoSeries/Pages/CorporateResponsibilityCollection.aspx>

Carol Booth: "A View from New York: Compliance Mandates You May See in Your State." *A presentation made at the Health Care Compliance Association Compliance Institute*, National Harbor, MD, April 23, 2013. Available at http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Compliance_Institute/2013/Tuesday/600/603print1.pdf

James C. Cox: "Governing Body's Role in Program Integrity, Webinar No. 19." *Webinar presented by the New York State Office of the Medicaid Inspector General*. December 10, 2013. Available at http://www.omig.ny.gov/images/stories/Webinar/webinar_19_121013.pdf

United States Sentencing Commission: "Guidelines Manual _PDF 2013". Accessed March 14, 2014. Available at http://www.ussc.gov/Guidelines/2013_Guidelines/Manual_PDF/2013_Guidelines_Manual_Full_Optimized.pdf

Bill Moles: "Creating and Supporting an Effective Executive Compliance committee." *Compliance and Ethics Professional*, June 2014. Society of Corporate Compliance and Ethics.

Paula Saddler and Margaret Steenrod: "Why Boards of Directors Have Compliance Committees." August 2014. Society of Corporate Compliance and Ethics.

HCCA AUDIT & COMPLIANCE COMMITTEE CONFERENCE

February 25–26, 2013 | Scottsdale, AZ

http://www.hcca-info.org/Portals/0/PDFs/Events/Brochures/2013Feb_AuditComp_brochure.pdf

MONDAY HANDOUTS

<http://www.hcca->

[info.org/Resources/ResourceOverview/PastConferenceHandouts/AuditComplianceCommittee/FebAuditCompliance2013/FebAuditCompliance2013Mon.aspx](http://www.hcca-info.org/Resources/ResourceOverview/PastConferenceHandouts/AuditComplianceCommittee/FebAuditCompliance2013/FebAuditCompliance2013Mon.aspx)

Introduction to Healthcare Risk Areas & Compliance

Committee Charter: The Role and Responsibility of the Audit and Compliance Committee

<http://www.hcca->

[info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Angus.pdf](http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Angus.pdf)

Setting the Tone at the Top: Board Leadership in Healthcare Compliance

<http://www.hcca->

[info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Morris.pdf](http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Morris.pdf)

Internal Audit, Compliance & the Audit Committee

<http://www.hcca->

[info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Sauders.pdf](http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/0213/Sauders.pdf)

Audit & Committee Conference

Improving Governance Practices

February 24–25, 2014 | Scottsdale, AZ

<http://www.hcca-info.org/Portals/0/PDFs/Events/Brochures/hcca-2014-auditcomp-brochure.pdf>

Role and Responsibility of the Audit & Compliance Committee

<http://www.hcca-info.org/Resources/ResourceOverview/PastConferenceHandouts/AuditComplianceCommittee/2014AuditComplianceCommittee/Tuesday.aspx>

Health South—Lessons for Board Members, Audit & Compliance Committees, and Senior Leadership

http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/2014/Martin_2_per_page.pdf

http://www.hcca-info.org/Portals/0/PDFs/Resources/Conference_Handouts/Audit_Compliance_Committee_Conference/2014/Martin_3_per_page.pdf

Compliance Committee

<http://www.hcca-info.org/Resources/ResourceOverview/Library/smid/3202/ArticleId/2888.aspx>

Compliance Committee Job Description

<http://www.hcca-info.org/Resources/ResourceOverview/Library/smid/3202/ArticleId/2888.aspx>

Compliance Committee Charter (See handouts)

THE RELATIONSHIP BETWEEN THE BOARD OF DIRECTORS AND THE COMPLIANCE AND ETHICS OFFICER

<http://www.hcca-info.org/Resources/View/ArticleId/204/The-Relationship-Between-the-Board-of-Directors-and-the-Compliance-and-Ethics-Officer-1-2-3.aspx>