

## Designation of Compliance Officer & Subcommittee

Effective Date: 7/28/2014

Draft/Review Date: 8/18/2014

### Policy

- A. It is the policy of the ACO to comply with the federal regulations that require the designation of a Compliance Officer who is not General Counsel to the ACO.

### Applicability

This policy and procedure applies to all Participants, Providers/Suppliers, and other individuals or entities performing functions or services related to the ACO's activities.

### Procedure

- A. The role of the Compliance Officer and the Compliance & Ethics Subcommittee is critical to the ACO. The Compliance Officer ensures open communication and active involvement in oversight and monitoring of all aspects of the Medicare Shared Savings Program.
- B. The Compliance Officer is responsible for development, oversight and monitoring of the Compliance and Fraud, Waste, and Abuse (FWA) program.
- C. The Compliance Officer and Compliance & Ethics Subcommittee offer oversight and implementation of the Compliance Program goals.
- D. The elements of the Compliance & Ethics Subcommittee Charter and structure for defining the Compliance Officer and Compliance & Ethics Subcommittee duties are delineated fully in the Compliance Plan.
- E. The Compliance Officer and the Compliance & Ethics Subcommittee periodically, and at least quarterly, report directly to the Governing Body of the ACO on the activities and status of the Compliance Program, including issues identified, investigated, and resolved by the Compliance Program.
- F. The Compliance & Ethics Subcommittee corporate structure supports the following actions:
  - 1. Meets on, at a minimum, a quarterly basis;
  - 2. Develops strategies to promote compliance and the detection of any potential violations;
  - 3. Ensures training and education is appropriately completed;
  - 4. Assists with the creation and implementation of the monitoring and auditing work plan;
  - 5. Assists in the creation of effective corrective action plans and ensures that they are implemented and monitored;
  - 6. Develops innovative ways to implement appropriate corrective and preventive actions;
  - 7. Oversees a system of internal controls to carry out the ACO's standards as part of its daily operations;

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8. Supports the Compliance Officer's needs for sufficient staff and resources to carry out his/her duties;
  9. Ensures the ACO has appropriate, up-to-date compliance policies and procedures;
  10. Ensures the ACO has a system for individuals to ask compliance questions, and report potential instances of FWA, confidentially or anonymously (if desired) without fear of retaliation;
  11. Reviews and addresses monitoring and auditing reports for areas in which Compliance risks have been identified and ensures that corrective action plans are implemented and monitored; and,
  12. Provides regular and ad hoc reports on the status of compliance with recommendations to the Governing Body.
- G. Members of the Compliance & Ethics Subcommittee will include a cross section of individuals within the ACO.
- H. The Governing Body of the ACO is knowledgeable about the content and operation of the Compliance Program and exercises reasonable oversight with respect to the implementation and effectiveness of the Compliance Program.

### Reporting

- A. N/A

### Related Documentation

- A. 42 CFR §425.300(a)(1)
- B. ACO Application's Senior Administrative Job Descriptions: Compliance Officer Job Description
- C. ACO Terms & Definitions Policy
- D. Compliance & Ethics Subcommittee Charter
- E. Compliance Plan
- F. Compliance Policy