

12 MONTHS OF COMPLIANCE COMMITTEE AGENDAS

Tips for Building Effective Compliance Committee Agendas

- Each Month Include:
 - Work Plan Update
 - New Developments
 - Compliance Reports

- Rotate Special Topics, Including:
 - Policy/Procedure Review
 - Training/Education
 - Special Spotlight on an Important Area, such as a New Regulation or New Service Line

- Annually Discuss:
 - Compliance Program Effectiveness
 - Compliance Program Engagement
 - Budget

- Have One Monthly Meeting Each Year Dedicated To:
 - Work Plan Development
 - 6 Month Work Plan Check Up
 - Year In Review

- Consider:
 - Rotating the Order of Agenda Items
 - Distributing Work Plan & Policy Materials Well in Advance for Review
 - What Information May Need to Be Limited Due to Confidentiality/Privilege Issues

- Schedule Special Meetings as Needed:
 - Implementation of New Law
 - Significant Non-Compliance Issue
 - Risk Assessment

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**JANUARY AGENDA
ANNUAL WORK PLAN DEVELOPMENT
90 MINUTES**

Due to the work involved in conducting or updating your organization's risk assessment and developing the annual work plan, you may need more than one compliance committee meeting this month. Consider developing the work plan at a separate meeting or if a separate meeting isn't feasible consider devoting the entire meeting to the development of your annual work plan.

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Other?
2. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
3. Finalizing Annual Work Plan (60 Minutes)
 - Distribution of Final Draft of Annual Work Plan
 - Discussion of Any Edits/Refinements
 - Approval of Annual Work Plan
4. Compliance Program Calendar (10 Minutes)
5. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements

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**FEBRUARY AGENDA
POLICY/PROCEDURES
90 MINUTES**

1. Administrative Issues (10 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Q1 Board Report
 - Other?

2. Policy/Procedure Review Process for Upcoming Year (30 Minutes)
 - Identify policies slated for review during the year and assign responsibility for each
 - Tie in With Work Plan
 - Develop schedule of reviewing/reporting back throughout the year in April, August, October, December
 - Consider Additional Needs (legal, training resources, etc.)

3. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts

4. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements

5. Work Plan Update (30 Minutes)
 - Review Q1 Work Plan Action Items, Status, Resolution
 - Edits/Updates/Concerns

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**MARCH AGENDA
TRAINING & EDUCATION
90 MINUTES**

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Training & Education Plan: Special Guest HR Liaison (30 Minutes)
 - Training & Education Plan for April – October
 - Tie-In w/ Work Plan, New Developments, Non-Compliance
 - Assign action items
 - Ideas for November-March
3. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
4. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
5. Work Plan Update (30 Minutes)
 - Review Q1 Work Plan Action Items, Status, Resolution
 - Discuss Q2 Work Plan Action Items
 - Edits/Updates/Concerns

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APRIL AGENDA
SPOTLIGHT ON _____
90 MINUTES

Invite a special guest or committee member to present on a specific topic, such as a legal update, new service line or organization initiative with a discussion on potential compliance issues resulting from same.

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Spotlight on _____: Special Guest (30 Minutes)
3. Policy Spotlight (20 Minutes)
 - Discuss specific policies scheduled for review
 - Identify edits
 - Establish action items for finalizing
 - Determine any new training required; schedule training
4. Work Plan Update (20 Minutes)
 - Review Q1 Work Plan Action Items, Status, Resolution
 - Discuss Q2 Work Plan Action Items
 - Edits/Updates/Concerns
5. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
6. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements

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MAY AGENDA
COMPLIANCE PROGRAM EFFECTIVENESS
120 MINUTES

1. Administrative Issues (10 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Q2 Board Report
 - Other?

2. Compliance Program Effectiveness: Special Guests Senior Leaders
 - Measuring Compliance Program Effectiveness- Compliance Officer
 - How Are We Doing?
 - Successes
 - Challenges
 - How Can We Improve?
 - Action Items?
 - Tie in to Work Plan?

3. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements

4. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts

5. Work Plan Update
 - Review Q2 Work Plan Action Items, Status, Resolution
 - Edits/Updates/Concerns

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JUNE AGENDA**SPOTLIGHT ON _____**
90 MINUTES

Invite a special guest or committee member to present on a specific topic, such as a legal update, new service line or organization initiative with a discussion on potential compliance issues resulting from same.

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Spotlight on _____: Special Guest (30 Minutes)
3. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
4. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
5. Compliance Program Effectiveness (10 Minutes)
 - Update on Action Items; Tie in to Work Plan
6. Work Plan Update (30 Minutes)
 - Review Q2 Work Plan Action Items, Status, Resolution
 - Edits/Updates/Concerns
 - Work Plan Checkup Planning

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**JULY AGENDA
WORK PLAN CHECKUP
120 MINUTES**

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
3. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
4. Work Plan: 6 Month Check Up (90 Minutes)

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**AUGUST AGENDA
BUDGET PLANNING
90 MINUTES**

1. Administrative Issues (10 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Q3 Board Report
 - Other?
2. Budget Planning – Special Guest (such as CFO) (30 Minutes)
 - Review current budget, discuss any organizational expectations (reduction, increase, etc.)
 - Discuss potential needs for upcoming year based on work plan, current experience, etc. and assign action items
3. Policy Spotlight (20 Minutes)
 - Discuss specific policies scheduled for review
 - Identify edits
 - Establish action items for finalizing
 - Determine any new training required; schedule training
4. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
5. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
6. Work Plan Update (20 Minutes)
 - Review Q3 Work Plan Action Items, Status, Resolution
 - Edits/Updates/Concerns

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**SEPTEMBER AGENDA
COMPLIANCE ENGAGEMENT
90 MINUTES**

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Engaging Others in Compliance- Special Guest- Senior Leaders (30 Minutes)
 - Open discussion of successes and challenges
 - How can we engage others more?
 - Action items/next steps for increasing engagement for inclusion in next year's compliance programming
3. Work Plan Update (30 Minutes)
 - Review Q2 Work Plan Action Items, Status, Resolution
 - Discuss Q3 Work Plan Action Items
 - Edits/Updates/Concerns
4. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
5. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts

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OCTOBER AGENDA: TRAINING & EDUCATION 120 MINUTES

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Training & Education: Special Guest HR Liaison (30 Minutes)
 - Training & Education Plan for November-March
 - Tie-In w/ Work Plan, New Developments, Non-Compliance
 - Assign action items
 - Ideas for April-October
3. Budget Update
4. Work Plan Update (30 Minutes)
 - Review Q3 Work Plan Action Items, Status, Resolution
 - Discuss Q4 Work Plan Action Items
 - Edits/Updates/Concerns
5. Policy Spotlight (20 Minutes)
 - Discuss specific policies scheduled for review
 - Identify edits
 - Establish action items for finalizing
 - Determine any new training required; schedule training
6. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
7. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends/Third Party Payor Update

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**NOVEMBER AGENDA
WORK PLAN WRAP UP
90 MINUTES**

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar update
 - Other?
2. Compliance Engagement Update (15 Minutes)
3. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends
 - Third Party Payor Requirements
4. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
5. Final Work Plan Push (45 Minutes)
 - Updates
 - Outstanding Items
 - Completion Feasible?
 - Additional Resources?
 - Schedule for Next Year?

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**DECEMBER AGENDA
YEAR IN REVIEW/UPCOMING YEAR
120 MINUTES**

1. Administrative Issues (5 Minutes)
 - Review/Approve Meeting Minutes
 - Compliance Calendar Update
 - Other?
2. Organization Initiatives in Upcoming Year – CEO/Board Chair (20 Minutes)
3. Year in Review (40 Minutes)
 - Annual Stats
 - Highs & Lows
 - Lessons Learned
 - Goals for Next Year
4. Work Plan Update (20 Minutes)
 - Review Q4 Work Plan Action Items, Status, Resolution
 - Discuss Any Which Need to Be Added to Next Year
5. Policy Spotlight (15 Minutes)
 - Discuss specific policies scheduled for review
 - Identify edits
 - Establish action items for finalizing
 - Determine any new training required; schedule training
6. Compliance & Quality Reporting*
 - Reporting Stats
 - Investigations Opened & Closed
 - Remediation Efforts
6. New Developments
 - Laws/Regulations
 - Policy Guidance
 - Enforcement Trends/Third Party Payor Update

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