

	UNIVERSITY OF ROCHESTER MEDICAL CENTER POLICY	Compliance Committee
	SECTION Compliance	March 2002
	Responsibilities of Management	PAGE: 1 of 2

PURPOSE:

To outline the duties and responsibilities of management personnel in furthering the URMCC Compliance Program.

POLICY:

Department management teams have an affirmative duty to continually monitor and address compliance concerns specific to their areas of responsibility. A critical aspect of compliance is the organization's ability to detect and correct problems at their source through the active involvement of individual managers. Department management responsibilities include:

1. Promoting and supporting compliance with all applicable laws, regulations, policies, procedures, and the code of conduct,
2. Identifying compliance risk areas within their own area of responsibility,
3. Supporting the resolution of identified compliance issues within their area of responsibility and for reporting compliance issues and problems to the Compliance Officer.

PROCEDURE:

Departmental managers and supervisors at all levels will:

1. Maintain compliance with laws and regulations as well as URMCC standards, policies, and procedures that pertain to their area of responsibility;
2. Stay current with applicable laws and regulations as well as URMCC standards, policies, and procedures relevant to their area of responsibility;
3. Stay current on regulatory agency updates and changes and ensure that their subordinates have a clear understanding of those affecting their duties and responsibilities;
4. Make regular compliance training and education programs available to their subordinates;
5. Identify potential risk areas specific to their department's scope of responsibility and notify the Compliance Officer;
6. Assist the Compliance Office, as deemed necessary, in compliance auditing and monitoring, including the implementation of any necessary changes or remedial action based on findings from auditing and monitoring activities;
7. Receive and resolve problems and concerns identified by employees;

8. Maintain an open-door policy that provides employees with ample opportunity to raise problems and concerns;
9. Encourage staff to come forward with compliance issues or concerns and support and enforce the URMC's non-retaliation policy;
10. Investigate problems or concerns reported by employees and implement necessary corrective or remedial actions;