

# Investing in Your Compliance Program



***Jenny O'Brien***  
*Chief Compliance Officer*

***UnitedHealthcare***

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# UnitedHealthcare Overview

## **UnitedHealthcare Medicare & Retirement (UHC M&R)**

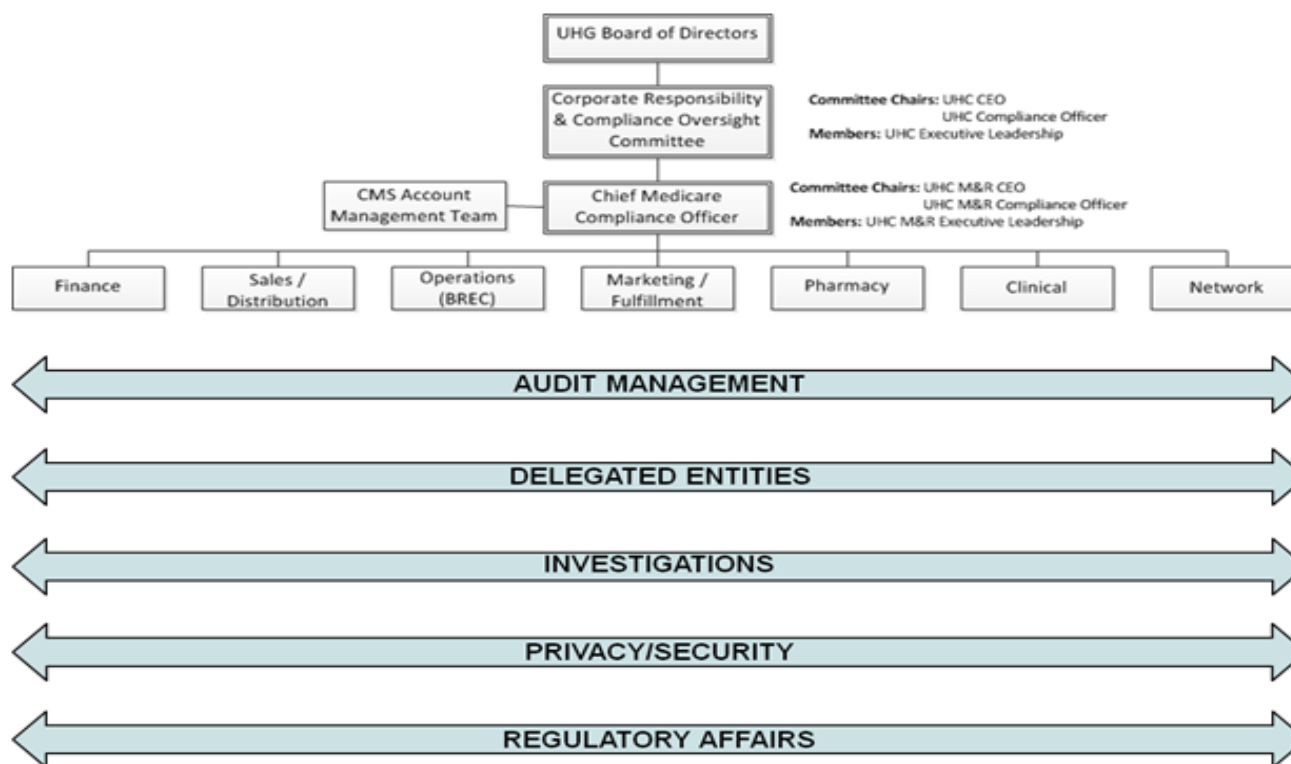
An operating unit of UnitedHealth Group and dedicated to providing innovative health and well-being solutions that help Medicare beneficiaries live healthier and more secure lives.

# UnitedHealthcare Overview (cont.)

**UHC M&R** serves one in five Medicare beneficiaries. The portfolio of products that includes:

- **Medicare Advantage Plans:** Serving nearly 3 million Medicare beneficiaries
- **Medicare Part D Plans:** Serving more than 5.1 million beneficiaries throughout the US and its territories
- **Medicare Supplement:** Serving more than 3.6 million members
- **Retiree Services:** Provides employers with high-quality affordable health care solutions for more than 1.1 million retirees

# Organizational Structure/Communication



# Getting Leadership On Board

## Guiding Principles

- Our program translates our **values into actions**.
- **Business operational leaders are responsible** for compliance.
- We will **develop a strategy** for effective compliance and **support business leaders** in implementing their strategy.
- Our **regulatory relationships are fundamental** for our organization's success.
- We will **create clear accountability around compliance** and foster open, honest and clear communications about our outcomes.



# Best Practices

## Getting to Effectiveness

Structure x Process x Outcome = Effectiveness

Quarterly Performance – 2014

Date:	A	B	C	D
<b>Structure: (25 pts.)</b>				
Program Oversight and Governance				
Standards, Policies & Procedures				
Compliance Training and Communication Strategy				
Risk Assessment and Monitoring Strategy				
Reporting / Prompt Response to Detected Offenses				
<b>Standard Outcomes: (25 pts.)</b>				
Compliance Audit Results				
Privacy & Security Disclosures				
Compliance Training Completion				
Vital Signs Survey - Ethical Compliance Dimension & Standard Dimensions				
<b>Focused Outcomes: (50 pts.)</b>				
Key Compliance Indicators				
CMS Operational Performance Scoring				
Delegated Entity Oversight				
Regulatory Compliance Notices				
Program Integrity & Prompt Response				
<b>Total: (100 pts.)</b>				
<b>Rating</b>				

# Strategic Compliance:

## How We Help the Business Succeed

### Value:

We develop and execute innovative compliance strategies, which enable the business to deliver on the promise of UnitedHealthcare.

### Mission:

We are sought after as a strategic partner to help differentiate UnitedHealthcare as the company that sets the standard for integrity and operational excellence.



# Strategic Compliance:

## Proactive Advisors

- We seek to **proactively understand** our organization's needs in order to offer timely advice and innovative solutions to compliance challenges.
- We stay on top of changes in the regulatory environment to effectively **anticipate, assess and respond** to regulatory expectations.
- We regularly evaluate existing processes to **identify and address opportunities** for improvement.





# Strategic Compliance: Trusted Specialist

- We provide **insightful, accurate and timely compliance reports** to business leaders, government partners and Boards of Directors.
- We **design and implement effective compliance programs** and monitor key business processes to help reduce compliance risk and ensure strong compliance outcomes.
- We leverage our unique knowledge and skills to give prompt and sound advice in **response to urgent compliance issues** and situations.



# Strategic Compliance:

## Value Added Partners

- We engage and consult with the business to provide input and advice in the early stages of strategy development and decision-making.
- We stay closely aligned with our enterprise governance partners to facilitate the best compliance and risk management solutions.
- We work collaboratively with regulators as their partners to advocate on behalf of UnitedHealthcare concerning the development of new requirements.

