


Policy Title: Management Certifications Process	
Policy Number: RCP 12	Page Number: 1 of 5

**MANAGEMENT CERTIFICATIONS:  
POLICY AND PROCEDURE [RCP-12]**

**Policy:**

**PharMerica shall require all those defined as Certifying Employees to employ a review process prior to attestation.**

**Definitions:**


- ▶ “Certifying Employee”: as stated in the Corporate Integrity Agreement of May 14, 2015, the specific roles included in this definition includes: Chief Executive Officer, Chief Financial Officer, Senior Vice President of Business Development, Senior Vice President of Sales/Client Services, Executive Vice President of Pharmacy Operations, Vice President(s) of Operations, and the Chief Pharmacy Officer.
- ▶ "Chief Compliance Officer" means PharMerica's Chief Compliance Officer and/or the Chief Compliance Officer's designee.
- ▶ “Employee” means any full-time, part-time or temporary employee of PharMerica, including, but not limited to, the PharMerica Chief Executive Officer and any member of PharMerica management inclusive of senior vice presidents, vice presidents and employees with director and managerial-level designations.
- ▶ “Federal Health Care Programs” means Medicare, Medicaid and all other Federal health care programs as defined in 42 U.S.C. §1320a-7b(f).
- ▶ “Federal Health Care Program Law” means one of the criminal, civil and administrative laws, or regulations or guidance applicable to Federal Health Care Programs.

**Procedure:**

**A. Background**

On May 14, 2015 Pharmerica (PMC) entered into a Corporate Integrity Agreement (CIA) with the U.S. Office of Inspector General (OIG). The CIA states in Section III.A.5 that PharMerica shall develop and implement a written process for Certifying Employees to follow for the purpose of completing the certification required by this section (e.g., reports that must be reviewed, assessments that must be completed, sub-certifications that must be obtained, etc. prior to the Certifying Employee making the required certification).

Original Date: 6/17/2015	Revision Date: n/a
--------------------------	--------------------

Policy Title: Management Certifications Process	
Policy Number: RCP 12	Page Number: 2 of 5

**B. Management Certification Process**

► In addition to the responsibilities set forth in this CIA for all Covered Persons, certain PharMerica employees (Certifying Employees) are specifically expected to monitor and oversee activities within their areas of authority and shall annually certify that the applicable PharMerica department is in compliance with applicable Federal health care program requirements and with the obligations of this CIA. These Certifying Employees shall include, at a minimum, the following:

- Chief Executive Officer
- Chief Financial Officer
- Senior Vice President of Business Development
- Senior Vice President of Sales and Client Services
- Executive Vice President of Pharmacy Operations
- Chief Pharmacy Officer, and;
- Vice Presidents of Operations


► For each Reporting Period, each Certifying Employee shall sign a certification that states:

“I have been trained on and understand the compliance requirements and responsibilities as they relate to [insert functional responsibility or name of department, as applicable], an area under my supervision. My job responsibilities include ensuring compliance with regard to the [insert name of department] with all applicable Federal health care program and Controlled Substances Act requirements, obligations of the Corporate Integrity Agreement, and PharMerica policies, and I have taken steps to promote such compliance.

Option 1 – Use if a potential issue is identified: I have identified potential issues of noncompliance with these requirements and I have referred those issues consistent with PharMerica’s processes for reporting potential misconduct for further review and follow-up, including at a minimum to the Compliance Department. Apart from those referred issues, I am not currently aware of any violations of the Federal health care program and Controlled Substance Act requirements or the obligations of the CIA. I understand that this certification is being provided to and relied upon by the United States.”

Option 2 – Use if no potential issue is identified: I have not identified

Original Date: 6/17/2015	Revision Date: n/a
--------------------------	--------------------

Policy Title:	Management Certifications Process	
Policy Number:	RCP 12	Page Number: 3 of 5

potential issues of noncompliance with these requirements and have therefore not referred such issues for further review and follow-up. I am not currently aware of any violations of Federal health care program and Controlled Substance Act requirements or the obligations of the CIA. I understand that this certification is being provided to and relied upon by the United States.

- ▶ Process for Certifying Employee to follow for the purpose of completing the Certification as described above:
  1. Review any reports relative to potential issues of noncompliance
  2. Review any assessments of individuals or facilities
  3. Obtain statements/certifications from senior direct reports with knowledge of the operations at a respective facility or personnel
  4. Conduct independent reviews or inspections as needed
  
- ▶ One the Certifying Employee signs their respective certification the document needs to be given to the Chief Compliance Officer for inclusion in the Annual report submission to the OIG.

Original Date:	6/17/2015	Revision Date:	n/a
----------------	-----------	----------------	-----