Introduction: Creating a Culture for Effective Compliance	5
Compliance Program: Essential Facts	11
Who is Involved? The Entire Organization and the Stakeholders	
Compliance Starts at the Top: The Board of Directors	
Sample Compliance Program Structure	
What is Fundamental? The Seven Fundamental Elements	
Medicare Anti-Fraud and Abuse Partnerships	
Element One: Implement Written Policies, Procedures and Standar	
Conduct	
Policies, Procedures and Standards of Conduct	
Sample Compliance Program Policy	
Sample Organizational Code of Conduct Policy	
Sample Whistleblower Protection Policy	57
Initial Discussion on Risk and Assessment.	61
Chart of Risk Areas	63
Element Two: Designate a Compliance Officer and Compliance	
Committee	67
Compliance Officer and Support	69
OIG Recommendations of Responsibilities of a Compliance Officer	
Sample Compliance Officer Job Description	
Compliance Committee and Board Interactions	
Example of a Compliance Committee Agenda	81
Keeping Current	85
Element Three: Conduct Effective Training and Education	
Scope of Training and Education	
Presentation for Employees	93
Element Four: Develop Effective Lines of Communication	
Communication Protocols	
Compliance Newsletter Template	
Compliance Newsletter Topic Suggestions	
Compliance Poster Template	117
Element Five: Enforce Standards Through Well-Publicized Discipling	narv
Guidelines	
The Cost of Non-Compliance	123
Compliance Laws and Regulations and Their Requirements	
Performance Appraisal and Annual Reviews	
Actions for New Hires	
Sample Progressive Discipline Policy	129

## **Table of Contents**

Element Six: Conduct Internal Monitoring and Auditing	133
Monitoring/Auditing: Cycle of Events	
Organizational Risk Assessment (ORA): Assessment Process	
Sample Risk Assessment Checklists	
Event and Data Retention: Logs and Other Tracking Mechanisms	
Reports	
Compliance Program Report to Committee Example	
Monitoring	
Auditing	
Tools and Techniques: The Backbone of an Audit Program	
Compliance Program Auditing Findings Form	
Complainee Frogram Additing Findings Form	
Element Seven: Respond Promptly to Detected Offenses and Unde	rtake
Corrective Action	195
Performing Investigations and Incidents	197
Reports and Findings	203
Performing Investigations and Incidents Reports and Findings Sample Compliance Report	205
затра сотраше торог	202
Developing Areas for Potential Compliance Issues	211
Identity Theft and Computer Hacking	213
Cloud Computing	218
OIG Final Rule on Screening, Moratoria and Suspension	
Old I mar Rule on Screening, Wordtoria and Suspension	210
Conclusion: Be Proactive: Doing Things for the Right Reasons	223
Conclusion. Be i roactive. Doing Things for the Right Reasons	223
Resources	
	220
Acronym Index	229 221
Endnotes	233