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| **Compliance Program Score Card** |

**Hospital: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_**

**Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Directions:** This form is to be completed by each member of the Compliance Committee.  Evaluate the following areas using a point scale of 1 to 10.
*(10 is the highest and 1 is the lowest)*

**Points Evaluate Areas**

\_\_\_\_\_ 1. Written standards of conduct and compliance policies and procedures are current and
 effective for all departments.

\_\_\_\_\_ 2. Compliance policies and procedures were enforced and disciplinary action was initiated
 when warranted.

\_\_\_\_\_ 3. Educational programs were presented for:

* Personnel as described in the plan
* Education sessions were effective (based on self-evaluations, etc.)
* Personnel were tested on their knowledge
* Personnel were aware of the compliance program and its purpose
* Personnel were evaluated on their compliance efforts

\_\_\_\_\_ 4. Complaints received were:

* Documented
* Investigated
* Handled according to plan

\_\_\_\_\_ 5. Process to resolve reports of illegal or improper acts:

* Complaints were received in accordance with the plan
* Complaints were resolved timely in accordance with the plan
* Resolution of complaints was documented
* Proper disciplinary action in accordance with the plan was followed

\_\_\_\_\_ 6. Risk areas were identified in the work plan and audited.

\_\_\_\_\_ 7. Findings of compliance auditing and monitoring:

* Findings were properly documented
* Exceptions were resolved timely
* Policies and procedures were revised
* Exceptions were promptly reported when required

\_\_\_\_\_ 8. Compliance Officer and committee functions

* Were regular meetings held?
* Were minutes maintained?
* Were meetings productive?
* Were job descriptions maintained?
* Do job descriptions need to be revised?
* Did the members make a productive contribution?

\_\_\_\_\_ 9. The language in the compliance plan is clear, current and concise.

\_\_\_\_\_ 10. The compliance program met its objectives.

**TOTAL POINTS: \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Divide the total points by 10 to calculate your score.  **SCORE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**RESULTS:**

Average 9 - 10 Highly effective compliance program

Average 7 - 8 Effective compliance program with areas for improvement

Average 5 - 7 Average compliance program with more areas for improvement

Average 4 or less Ineffective compliance program