



Health Care Solution



*Web-Based Solution
that Helps You Manage:*

- *Code of Conduct*
- *Employee Training*
- *Third Party Oversight*
- *Policy Tracking*
- *Risk Assessment*



Today's Multi-Layered Challenge

Compliance Officers need to demonstrate that their organization's compliance programs are robust, effective and foster a culture of ethical best practices.

Compliance teams are challenged in many ways to develop, distribute and track dozens of policies, establish a Code of Conduct, oversee internal reporting and "feedback" mechanisms and interact with multiple constituencies from the Board of Directors and regulatory authorities to the sales team, employees and First Tier, Downstream or Related Entities (FDR's).

A Proactive Approach to Compliance Programs

Through our Health Care Solution, our Health Care clients have stripped the complexity from their compliance learning programs, while establishing an environment for continuous compliance improvement. That solution includes our ComplianceWire® learning system, plus compliance-specific content and services, enabling you to better manage these activities:

- ✓ **Embed your Code of Conduct** into everyday work practices;
- ✓ **Deliver off-the-shelf courses** spanning critical compliance topics;
- ✓ **Manage the delivery of policies** to both employees and third parties;
- ✓ **Build targeted risk profiles** based on self-assessments;
- ✓ **Generate real-time audit reports** that answer detailed compliance questions;
- ✓ **Make third party education** as easy to manage as internal training.

CODE OF CONDUCT TRAINING

Bring Your Code, and Your Corporate Values, to Life

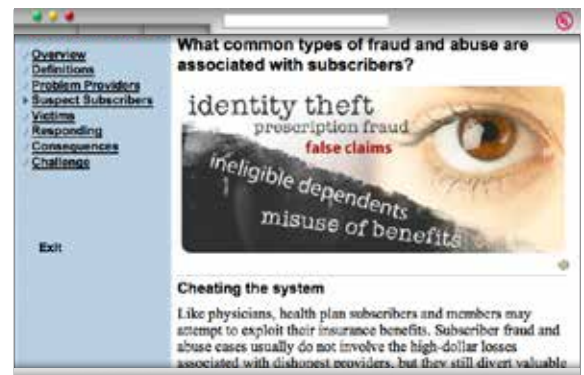
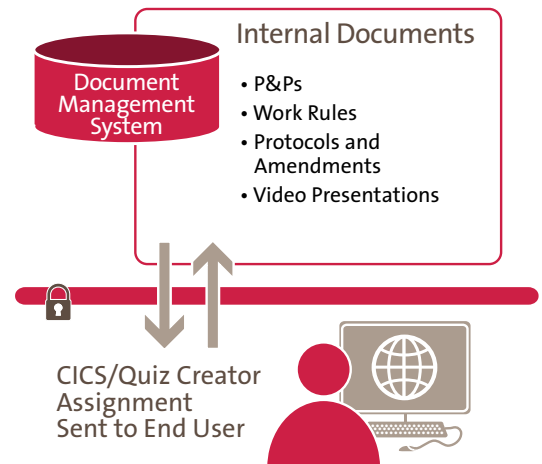
The foundation of an effective compliance program is rooted in a strong values-based Code of Conduct. Incorporated into that Code are the seven Office of Inspector General (OIG) elements, recommendations of the US Sentencing Guidelines and major health care compliance tenets. UL EduNeering develops custom Code of Conduct training content that not only incorporates these tenets, but delivers relevant scenarios and interactions for effective adult learning.

To implement more sophisticated compliance programs, our solution focuses on an integrated compliance learning model. Through this model, compliance officers can identify high-risk employees and nonemployees, and then deliver the Code of Conduct and ensure an auditable receipt.

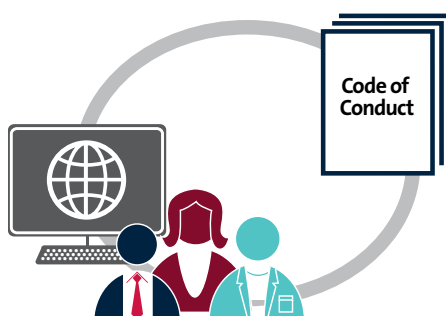
Assign Code of Conduct Training with Full Audit Trail

To streamline the delivery of Code of Conduct training and other compliance policies with a complete audit trail, UL provides an electronic assignment distribution system called Critical Information Control System® (CICS).

A differentiating tool within ComplianceWire, our 21 CFR Part 11-validated Learning Management System (LMS), CICS enables you to deliver training assignments that “link” the user to your policies and procedures. You can also build quizzes to assess whether the learner read and understood the policy.



SERVICES TO MAKE YOUR CODE OF CONDUCT MORE MEANINGFUL



Your company has a unique culture and voice. Our team can incorporate these into your Code of Conduct to build an ethical culture and drive behavior change.

We develop customized Codes for our clients, or can modify existing Codes to meet current regulatory and company requirements. In addition to Code writing, we can develop custom courses on your Code, or on a series of “continuous ethical improvement” topics to more effectively impact company culture.

Employees learn from real-life situations uniquely applicable to their company and industry, so they can recognize potential problems before they occur.

We can also assess existing materials and offer recommendations to make sure the Code reflects your company’s values, satisfies all regulatory requirements and helps employees exemplify these values in their work environment.

OFF-THE-SHELF COURSES STREAMLINE TRAINING

Engaging Web-based Courses Designed to Change Behavior

As regulatory requirements grow more complex, your training content must be crafted to ensure proper retention and improve employee and contractor performance.

Our highly-engaging compliance course libraries, when aligned with organization-specific policies and procedures, can serve to motivate individuals by focusing on the consequences of their actions from a regulatory and business perspective.

Our courses employ proven instructional design methodology and mastery to foster deep processing and understanding of the material and actually result in behavior change – the goal of effective training.



EXAMPLE COURSE TITLES:

- MAPD/PDP: Marketing
- MAPD: Enrollment and Disenrollment
- Medicare Part D: Pharmacy Network
- Medicare Health Plan and PDP: Fraud, Waste and Abuse
- MAO/PDP: Compliance Program Guidelines
- Bloodborne Pathogens – Health Care Workers
- HIPAA: Privacy Standards
- Information Security
- U.S. Health Insurance Exchange
- U.S. Health Care and the Impact of Health Care Reform
- Introduction to Medicaid

POLICY TRACKING MADE EASY

ComplianceWire features policy tools that enable you to quickly assign and track assignments that link individuals to your electronic policies, which reside on your servers or your document management system.

You can easily and quickly build quizzes to ensure that learners read the documents before signing off.

The electronic signatures are unimpeachable and secure, leveraging the web-based ComplianceWire platform, which streamlines recordkeeping and administrative tasks, and integrates with document management systems to automatically trigger new training as documents are updated.





RISK ASSESSMENT AND RISK MITIGATION

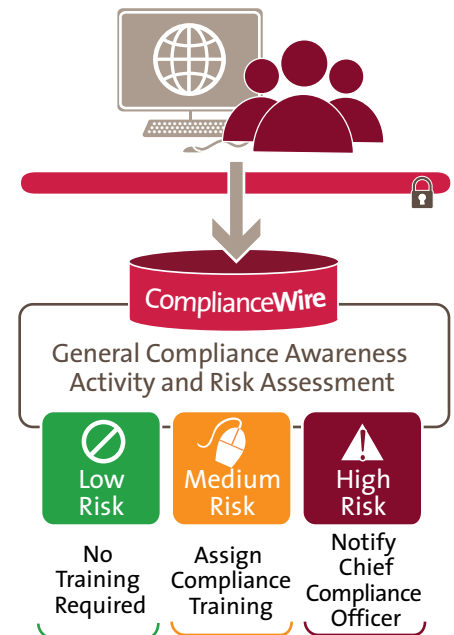
Combine Policy Distribution, Risk Assessment and Mitigation Planning

ComplianceWire ensures that your policy training is fully disclosed and documented, and that risk mitigation steps have been signed off on by the employee and manager.

All of your policies can be delivered via ComplianceWire: HIPAA Privacy & HIPAA Security, Fraud, Waste and Abuse, Corporate Conflicts of Interest, etc. Prior to assigning policy training, the risk of each learner can be determined by sending an online assessment.

Our SmartForms tool enables you to add a “resulting action” rule to an online risk assessment, so that as an individual answers each question, the system assigns targeted training or sends an alert via e-mail to the compliance team. For example:

Conflict of Interest: One compliance team helped individuals recognize potential conflicts in their daily business interactions – before these incidents occurred. The compliance team sent an electronic Conflict of Interest (COI) form that automated the assessment process by directing any “high-risk” individual to COI training. This process also gave the Compliance Officer visibility into compliance and risk through robust management reports.



About UL EduNeering

UL EduNeering is a business line within UL Life & Health's Business Unit. UL is a global independent safety science company offering expertise across five key strategic businesses: Life & Health, Product Safety, Environment, Verification Services and Enterprise Services.

UL EduNeering develops technology-driven solutions to help organizations mitigate risks, improve business performance and establish qualification and training programs through a proprietary, cloud-based platform, ComplianceWire®.

For more than 30 years, UL has served corporate and government customers in the Life Science, Health Care, Energy and Industrial sectors. Our global quality and compliance management approach integrates ComplianceWire, training content and advisory services, enabling clients to align learning strategies with their quality and compliance objectives.

Since 1999, under a unique partnership with the FDA's Office of Regulatory Affairs (ORA), UL EduNeering has provided the online training, documentation tracking and 21 CFR Part 11-validated platform for ORA-U, the FDA's virtual university.

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