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.
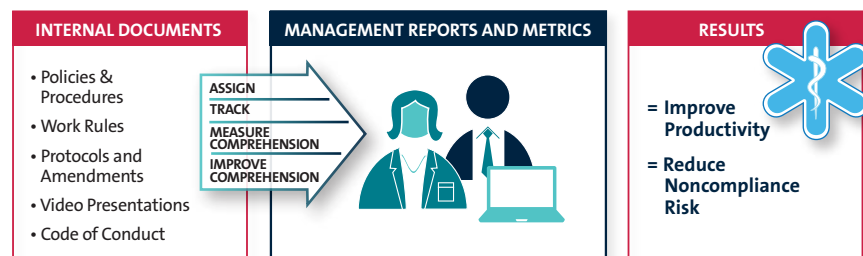
CODE OF CONDUCT TRAINING

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. We mange this via the Forms Monitor tool in ComplianceWire which tracks an employee's response and triggers an automated email based on their answers. This email can be sent to a designated individual so they can take an appropriate specified action. The email can also be routed to a manager so that they can confer with the employee in question.

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.

FORMS: MANAGING YEARLY CONFLICTS OF INTERESTS STATEMENTS

The Forms tool was developed for clients who need to distribute, collect, analyze and store information used to achieve regulatory or internal compliance including critical, required, legal or survey data. The Forms tool allows you to be the author of your Forms which is useful for creating your annual Conflicts of Interest statements and for attestations from FDRS/Consultants.

Forms monitor, a tool within the Forms tool, notifies you if someone responds in a way where you need to do an investigation. The form can be appended with the results of the investigation which is essential for audits.

OUR OFF-THE-SHELF COURSES CAN HELP STREAMLINE YOUR COMPLIANCE TRAINING PROGRAM

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.

General Compliance Curriculum

UL EduNeerings's Libraries encompass courses that can be used to build a curriculum that meets your learner's needs. For example a selection of courses in our Ethics library can be assigned to users that need training on specific topics such as corporate integrity or general compliance.

The General Compliance curriculum teaches the basics needed to understand the importance of compliance as well as how a Compliance Program works. Drawing on the compliance requirements of the US Department of Health and Human Services, the recommendations of the DHHS Office of the Inspector General, the Federal Sentencing Guidelines and your organization's specific Compliance Program, we can fashion a compliance training curriculum that meets your compliance objectives.

Business Ethics and Corporate Integrity Curriculum

This curriculum, which aims to build a culture of ethical compliance, complies with requirements established by the Sarbanes-Oxley Act of 2002 and the revised Federal Sentencing Guidelines, as well as current best practices. It also provides employees with an overview of the fundamental ethics and compliance issues faced by all employees. The curriculum includes targeted scenario-based training to engage employees in situations requiring them to make decisions and follow those decisions to a conclusion.

Custom Courses Engineered for Effective Learning

UL's Health Care courses can be customized to address your organization's specific needs. All courses can be adjusted to include highly specific information that promotes corporate culture, communicates policies and procedures, and addresses key messages. These key messages may include job-specific requirements, policies and procedures, confirmation of corporate culture, hotline numbers or additional regulatory requirements, as well as your organization's own terminology and graphics.

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.

ComplianceWire

General Compliance Awareness Activity and Risk Assessment

Results may prompt a meeting with the Compliance Team

HEALTH CARE COURSE LIBRARIES

A comprehensive library of Health Care-specific courses enables rapid deployment of online training that complies with requirements of the CMS, HHS and HIPAA. Our solutions also facilitate patient adherence to treatment plans and self-care through specialized education modules that focus on individual conditions or treatment needs.

Health Care: General
The general Health Care curriculum enables you to meet federal requirements for Health Care organizations, while supporting the need for a consistent corporate message, dependable employee performance and adherence to company policies and procedures.

HIPAA
The HIPAA Privacy and Security Library consists of three primary components: general training, specialized training for persons interested in greater detail, and training on an organization's own policies and procedures.

Medicare Advantage
Our Medicare Advantage Library fulfills CMS regulatory requirements for MA organization training, education and documentation in a cost-effective training method via the Inte rnet.

Medicare Part D
Our Medicare Part D Curriculum expressly created for the Managed Care industry is the most comprehensive and detailed curriculum available and fulfills, via the internet, the CMS requirements for training, education and documentation in a cost-effective training method as outlined in Chapter 9 – Part D Program to Control Fraud, Waste and Abuse of the Prescription Drug Benefit Manual.

Medicare Brokers and Agents
The program complies with all Center for Medicare and Medicaid Services (CMS) requirements (excluding plan-specific information) and incorporates the instructional design and knowledge that have made our other Health Care courses so effective.

PPACA Course Series
To help your employees understand the impact of PPACA, UL EduNeering offers three new online, self-paced courses. These courses focus on the changing U.S. Health Care system wrought by the Affordable Care Act and the options that individuals will have to purchase health insurance.

About UL EduNeering

UL EduNeering is a business line within UL Life & Health's Business Unit. UL is a premier global independent safety science company that has championed progress for 120 years. Its more than 10,000 professionals are guided by the UL mission to promote safe working and living environments for all people.

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.