	Yes	No
1. Are there accessible tools for the governing board, management, employees and contractors to communicate compliance-related concerns?	☐	☐
2. Do the tools include methods for anonymous or confidential communication?	☐	☐
3. While the entity may strive to maintain the anonymity of an employee's identity, does it also make clear that there may be a point at which the individual's identity may become known or may have to be revealed in certain instances?	☐	☐
4. Is the compliance officer's contact information included in the following materials: 1. new staff orientation 2. compliance related training 3. contractor's and affiliated training, if applicable?	☐	☐
5. Are the lines for communicating incidents, and examples of the incidents to be reported, well publicized throughout the organization (i.e., orientation/education sessions, posters, pamphlets, intranet/internet, etc)?	☐	☐
6. Do services exist to facilitate communication between the compliance department and individuals with physical and cultural barriers consistent with laws and regulations?	☐	☐
7. Does your organization foster a culture of compliance and encourage open lines of communication without fear of retaliation?	☐	☐
8. Is there a policy indicating that there will be no retribution for reporting conduct that a reasonable person acting in good faith would have believed to be erroneous, improper, or fraudulent?	☐	☐
9. Are reports of potential compliance issues delivered to the compliance officer?	☐	☐
10. Does a telephone hotline exist to send/receive reports of compliance issues?	☐	☐
11. Are hotline calls logged and tracked?	☐	☐
12. Does the compliance officer have a method of receiving anonymous reports and provide feedback to reporting individuals, as appropriate?	☐	☐
13. Does the compliance officer publicize alternate methods for anonymous reporting such as a mailing address and a drop box?	☐	☐
14. Are your board, employees, and persons associated with the organization advised of their responsibility and obligation to report compliance-related concerns?	☐	☐
15. Is there an opportunity for employees to make suggestions on the reporting process?	☐	☐
16. Do employees have the opportunity to seek clarification on policies and procedures and reporting methods?	☐	☐

"Yes" Total: _____/14