

ANNUAL COMPLIANCE AND ETHICS OFFICER EVALUATION¹

EVALUATION FOR THE YEAR ENDING: (MONTH/YEAR) _____

FACILITY NAME: _____

NAME OF PERSON COMPLETING EVALUATION: _____

NAME OF COMPLIANCE AND ETHICS OFFICER: _____

DATE OF EVALUATION: _____

¹ The purpose of this Annual Compliance and Ethics Officer Evaluation is to determine whether the Compliance and Ethics Officer's compliance responsibilities are satisfactorily carried out. This Assessment is an objective, regular analysis of what duties the Compliance and Ethics Officer is required to perform that provides for an assessment and rating of the Compliance and Ethics Officer's performance *vis a vis* the Compliance and Ethics Program.



Compliance and Ethics Officer ("CO") Tasks & Responsibilities:	Please rate your CO's performance on a scale from 1-5: 1=poor 5=excellent	Comments: Please include a description of how your CO is fulfilling his/her requirements in the columns below.
The governing board receives reports from the Compliance and Ethics Officer at least quarterly.	1 2 3 4 5	
The Compliance and Ethics Officer conducts Compliance and Ethics Committee meetings on a regular basis.	1 2 3 4 5	



The Compliance and Ethics Officer has addressed the following compliance and ethics areas:		<i>Through your own awareness or by review of internal documents and Compliance Committee meeting minutes, please evaluate your Compliance Officer's work in the following areas:</i>
1. Policies and Procedures, including: <ul style="list-style-type: none">• Compliance and Ethics Program• Code of Conduct• Fraud/Waste/Abuse• DRA	1 2 3 4 5	
2. Training and Education, including: <ul style="list-style-type: none">• Compliance and Ethics• Code of Conduct• Fraud/Waste/Abuse• Billing & Overpayments	1 2 3 4 5	
3. Auditing and Monitoring	1 2 3 4 5	



4. Reporting system and Responses	1	2	3	4	5	
5. Enforcing discipline and establishing a facility free of intimidation and retaliation	1	2	3	4	5	