

HEALTH SCIENCE CENTER HANDBOOK OF OPERATING PROCEDURES

Chapter 2	General Policies and Procedures	Effective:	April 2000
Section 2.5	Institutional Compliance Program	Revised:	February 2008
Policy 2.5.1	Office of Regulatory Affairs & Compliance	Responsible Party:	Assistant Vice President for Regulatory Affairs & Compliance

OFFICE OF REGULATORY AFFAIRS & COMPLIANCE

Institutional Compliance Program

The Office of Regulatory Affairs & Compliance has overall operational responsibility for the planning, design, implementation, and maintenance of the Institutional Compliance Program which is designed to:

1. prevent accidental or intentional noncompliance with applicable laws and regulations;
 2. detect noncompliance;
 3. discipline those involved in non-compliant behavior; and,
 4. prevent future non-compliance.
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Office of Regulatory Affairs & Compliance

The Office of Regulatory Affairs & Compliance is responsible for:

1. overseeing the development of policies and procedures to ensure the University's compliance with all federal, state and local laws and regulations;
 2. developing, reviewing, revising and distributing appropriate policies to guide the Institutional Compliance Program;
 3. overseeing confidential mechanisms to ensure employees, patients, research participants, vendors and community members can report compliance issues, concerns and complaints with no concern of retaliation;
 4. investigating and/or evaluating hotline calls;
 5. overseeing the development of an instructional compliance training program that includes general compliance training for all employees and specialized compliance training for specific employees;
 6. developing guidelines and procedures for compliance monitoring;
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7. communicating instances of non-compliance to the Compliance & Ethics Committee and Health Science Center management for corrective action;
 8. conducting specific monitoring over patient medical record documentation for billing activities, clinical research, and patient privacy; and,
 9. updating the *Handbook of Operating Procedures* (HOP). Each area responsible for the section of the *Handbook* shall submit revisions in writing with the necessary support documentation and approval to the Office of Regulatory Affairs & Compliance.

Management’s Responsibilities to Report Compliance Issues

Each management level within the Health Science Center is required to report any compliance issues to their Executive Committee member. The Executive Committee members or their designate are responsible for notifying the Office of Regulatory Affairs & Compliance of any significant instances of non-compliance. The Office of Regulatory Affairs & Compliance will work with management to develop an action plan to address the issue and to ensure all appropriate internal individuals and external agencies are notified, if necessary.

Reporting Compliance Concerns

The Health Science Center has established a 1-800 ComplianceLine number; external reporting mechanism for identifying improper or illegal conduct of Health Science Center faculty, staff, students, vendors or independent contractors. The Office of Regulatory Affairs & Compliance may also be contacted in person, by telephone or written communication.

All reports to the Office of Regulatory Affairs & Compliance will be reviewed. If wrongdoing is discovered, the Health Science Center will take appropriate action. No retaliation will be taken against anyone making a report in good faith. In addition, every effort will be made to protect an individual’s privacy whenever possible. Also, see the HOP, [Section 2.5.2](#), “Protection from Retaliation for Reporting Suspected Wrongdoing”.

The ComplianceLine should not be used frivolously or to harass another employee. An employee who is determined to knowingly have made

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false accusations or gives false information may be subject to disciplinary action, including termination of employment, in accordance with applicable policies and procedures.

ComplianceLine

The ComplianceLine number is 1-800-500-0333.
