

Compliance 2016 Survey

1. If you have had a direct experience with a Compliance issue or interaction, on a scale of 1 to 3 (1= poor 2= fair and 3= great) how would you rate the experience?

1= Poor
 2= Fair
 3= Great

Comments

2. I know the name of an HMS Compliance officer and how to contact if I have a compliance question or issue.

Yes
 No

3. I believe my concern will receive a prompt, serious, and thorough review by Compliance.

Yes
 No
 I don't know

4. Our HMS Compliance staff are approachable and easy to talk to.

Yes
 No
 I don't know

5. Our Compliance staff seem like they "police" and "punish" more than they "help".

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Yes
 No
 I don't know

6. I know how to call the hotline for anonymous reporting of concerns.

Yes
 No

7. I believe these reports really are anonymous.

Yes
 No
 Not Sure

8. I know where to quickly download Compliance forms (ex. Privacy incident form, preclearance form, and donation request form) and policies related to my work.

Yes
 No
 I think they are on Buzz, but I've never downloaded Compliance forms

9. My direct supervisor/manager uses words and actions that convince me that Compliance is a top priority for my work team.

Yes
 No
 I don't know

10. My direct Supervisor/Manager discusses compliance related topics with my

Compliance 2016 Survey

https://www.surveymonkey.com/r/DNIOXHK

87%

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I don't know

10. My direct Supervisor/Manager discusses compliance related topics with my team:

Monthly

Quarterly

Once a year

I can't recall the last time

Other frequency (please specify)

11. I would like more information about all the Compliance issues facing our business to help me protect our clients, and HMS from potential risk (ex. Intellectual property, trade secrets, false claims act, speaking up).

Yes

No

Not Sure

12. I feel I receive Compliance training that relates to my day-to-day work.

Always

Sometimes

Never

13. The amount of Compliance training and communication I receive is

Too little training and communication

Just the right amount of training and communication

Too much training and communication

14. How can the Compliance team support you better?