**COMPLIANCE & ETHICS IN FOCUS**

*Your source for ideas and tips to promote integrity at \_\_\_\_\_\_ Fall 2017*

**Our New Newsletter**

The Ethics and Compliance Department at \_\_\_\_\_\_ has launched this newsletter, *Compliance and Ethics in Focus* to offer tips on ways to achieve the high standards of integrity embodied in our Code of Conduct. In this newsletter, which will be delivered XXX times a year, we will update you on our department’s activities and other important topics.

**Celebrate—Healthcare Compliance and Ethics Week**

Healthcare Compliance and Ethics Week is celebrated nationally the first full week of November. In recognition of this year’s event, which comes November 5-11, we have scheduled the following activities:

**Monday:** Ethics and Compliance Meet and Greet—we will visit all local offices throughout the day.

**Tuesday:** Scavenger Hunt—See page 2 for instructions. Winning work team to receive gift bags!

**Wednesday:** Prize Day—bring proof of completion of any Code Training module to Ethics and Compliance and receive a prize!

**Thursday:** Code of Conduct Quiz Bowl—see the employee Intranet for details.

**Friday:** Recognition of this year’s winners of \_\_\_\_\_\_ Ethics & Compliance Success Awards.

Your logo  
goes here

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**Reporting Violations of the Code of Conduct**

Did you know that as an employee of \_\_\_\_\_\_ you have an obligation to the company to report any known or suspected violations of the \_\_\_\_\_\_ Code of Conduct? The Ethics & Compliance Department provides you with many avenues to report a situation or to ask questions about a situation. We first, encourage you to discuss the situation with your manager, but if you do not feel comfortable doing this then you may use one of the following   
resources:

**Ethics & Compliance**

**HelpLine:  
(800) xxx-xxxx**

**♦**

**Ethics & Compliance**

**\_\_\_\_\_\_ Inc.**

**P.O. Box 55555**

**Anytown, USA**

**♦**

[**Ethicsandcompliance@ourfirm.com**](mailto:Ethicsandcompliance@ourfirm.com)

**Does Ethics & Compliance**

***Really* Investigate Suspected Violations of the \_\_\_\_\_\_ Code of Conduct?**

Yes—appropriate action is taken to review and/or investigate each report. While the vast majority of our associates follow and embrace the \_\_\_\_\_\_ Code of Conduct, a few associates choose to violate them, which results in corrective action, which may include termination of employment.

In 2013, 320 investigations were conducted which resulted in:

• 21 written warnings; and

• 38 terminations.

The majority of these investigations related to the violation of internal policies and procedures, including the inappropriate handling and release of confidential information, and violations of laws and regulations applicable to our business.

**Ethics and  
Compliance  
HelpLine  
1-800-xxx-xxxx**

* 24 Hours/Day
* 7 Days a Week
* Anonymous

You have an obligation to report any known or suspected violations of the \_\_\_\_\_\_ Code Conduct, company policy or procedure, State and Federal law, or business ethics dilemmas. The HelpLine is always available to you to seek guidance or report an ethics or compliance concern confidentially without fear of retaliation. The Ethics and Compliance staff answers the HelpLine during business hours (EST). The company will handle calls to the HelpLine with professionalism, caring and respect.

**Our Policy: Zero Tolerance for Retaliation**

Do you know of a situation or potential situation that you feel violates the \_\_\_\_\_\_Code but are hesitant to report it because you are afraid of a coworker or manager retaliating against you? Remember that \_\_\_\_\_\_ has a zero tolerance policy when it comes to retaliation. Another employee cannot retaliate against you when you make a good faith report of an ethical or compliance concern. Any employee who does retaliate against another is subject to disciplinary action up to and including termination.

**Acting Ethically.**

**Acting Honestly.**

**Acting Fairly.**

**It’s what makes us \_\_\_\_\_\_.**

**Who’s Who in the Ethics & Compliance Department?**

The Ethics & Compliance Department consists of two units specializing in different areas. These areas, though focused on their main specialties, also assist the other units when needed. The two units are:

***Regulatory Compliance, Investigations & Compliance Services***

\_\_\_\_\_\_\_\_\_\_\_\_ directs the activities of the Regulatory Compliance, Investigations & Compliance Services team. This team investigates violations of the Standards of Ethical Business Conduct, company policies, laws and regulations. In addition, her team works with organizations on their compliance plans to ensure they are complying with laws and regulations and supports all company compliance committees.

***Corporate Privacy and Compliance Training & Communications***

\_\_\_\_\_\_\_\_\_\_ directs the activities of the Corporate Privacy office and Compliance Training & Communications Team. The compliance training & communications team focuses on developing ethics and compliance training for all WellPoint associates including the annual ethics and compliance and new employee training courses. The privacy side of the team oversees and directs enterprise-wide compliance efforts related to privacy, including developing and updating enterprise privacy policies, privacy training, awareness and education.

The contact list for the Ethics & Compliance Department can be found on the Intranet in the Corporate Directory under Ethics and Compliance Contact Information.

**Scavenger Hunt**

This hunt will require you to work with your work team to determine the correct answers to all nine questions about compliance and ethics topics. When you have completed all nine, send your answers along with the names of everyone in your work team in an email to: [EandCstaff@ourfirm.com](mailto:EandCstaff@ourfirm.com).

1. According to the Ethics and Compliance Contact Information posted on our Intranet, which email address can you use to ask questions regarding compliance training?
2. What is the name of Part 1 of the Ethical Behavior Competency?
3. How many links are there to “Q&A” sections in the Code of Conduct?
4. Which XXX procedure specifies, “users MUST NOT share unique User IDs and passwords assigned to them as individuals, or misrepresent their identities under any circumstances”?
5. What is the last sentence on the Intranet page titled “How to Call the Ethics & Compliance HELPLINE?”
6. What does the new acronym for the Management Compliance Certification (Management C.E.R.T.) stand for?
7. 30 office locations will be assigned the 2014 Annual Compliance CBT in April. When will it be due?
8. Name two prohibited activities related to the solicitation of cash and prizes listed in a special communication from \_\_\_\_\_\_\_\_\_\_\_, our Chief Compliance Officer.
9. Ethics & Compliance revised the Corporate Resources page in January 2014. How many phone numbers (including fax numbers) does the list include?