

TABLE OF CONTENTS

	<u>PAGE</u>
Preface.....	3
Healthcare Compliance Overview	4
Introduction and Background	4
Applicable Laws.....	6
False Claims Act	6
Anti-Kickback Laws	9
Self-Referral Laws (Stark).....	11
Controlled Substance Abuse Law	13
Compliance Program Overview	14
Benefits of a Compliance Program	14
What is a Compliance Program?	15
What a Compliance Program is Not	16
Elements of an Effective Physician Practice Compliance Program	16
Implementation of a Compliance Program	16
The Baseline Audit.....	17
Practice Standards	18
Compliance Officer/Committee/Contacts	19
Education and Training.....	20
Response Mechanism and Corrective Action	21
Open Lines of Communication	21
Disciplinary Process.....	22
Conclusion	22
<u>Appendix A</u> Key Documents to Review	23
<u>Appendix B</u> Duties of the Compliance Officer/Committee	26
<u>Appendix C</u> Reporting and Investigating Misconduct	30
<u>Appendix D</u> Document Retention/Destruction.....	31

<u>Appendix E</u>	Model Compliance Plan	32
<u>E-1</u>	Introductory Letter.....	33
<u>E-2</u>	Compliance Commitment & Acknowledgment.....	34
<u>E-3</u>	Practice Standards.....	36
<u>E-4</u>	Ethical Coding & Billing Standards.....	46
<u>E-4.1</u>	Acknowledgement of Ethical Coding & Billing Standards.....	57
<u>E-5</u>	The Compliance Committee.....	58
<u>E-6</u>	Disciplinary Protocol.....	60
<u>Appendix F</u>	Additional Sample Policies and Forms	61
F-1	Duties of the Compliance Officer Policy	62
F-2	Compliance Committee, Its Powers and Responsibilities Policy	65
F-2.1	<i>Form</i> : Compliance Program Annual Survey	68
F-3	Responding to Compliance Hotline or Other Reports Policy	71
F-3.1	<i>Form</i> : Hotline Report.....	77
F-3.2	<i>Form</i> : Compliance Program Report.....	79
F-3.3	<i>Form</i> : Compliance Hotline Report Log	80
F-4	Non-Retaliation Policy.....	81
F-5	Exit Interviews Policy	82
F-5.1	<i>Form</i> : Compliance Program Exit Interview.....	83
F-6	Employee and Contractor Screening Policy.....	86
F-7	Document Retention Policy for Compliance Program Documents and Documents Associated with Claims Processing Policy	88
F-8	Refunding Overpayments Policy	89
F-9	Compliance as an Element of Performance Evaluations Policy	90
F-10	Documenting Discussions with Third Party Payors Policy	91
F-10.1	<i>Form</i> : Confirmation Letter to Payor.....	92
F-11	Waiver of Co-payments and Deductibles Policy	93
F-12	Vender-Promotional Training Policy.....	95
F-13	Responding to Government Investigations Policy	96