

Corporate Compliance Module For Employees

This self-directed learning module contains information all CHS employees are expected to know in order to protect our patients, our guests, and ourselves.

Target Audience: All Non-Management CHS Employees, Students, Volunteers, and Physicians

Contents

- Instructions.....3
- Learning objectives.....4
- Module Content.....5
- Post-Test.....25

An illustration in the background features a light blue circle containing a stylized sun with rays at the top, a pair of glasses in the middle, and an open book with wavy lines representing pages at the bottom. The word "Instructions" is overlaid on the sun and glasses.

Instructions

- ❖ Read this module and complete the post-test. If you have questions about the material, ask your supervisor.
- ❖ If you are completing the post-test manually, please include your signature and the date and give it to your supervisor.
- ❖ Record the date of completion on your Employee Annual Continuing Education Record

Learning Objectives

When you finish this module, you will be able to:

- ☑ **Explain** the importance of a compliance program
- ☑ **Identify** key elements of the CHS Code of Conduct: *A System of Integrity*.
- ☑ **Understand** Critical Compliance Concepts and policies, laws, and regulations that apply to your role within the System
- ☑ **Know** how to properly use the Chain of Command to get help when you have a compliance question or concern
- ☑ **Know** how and when to use the Compliance HelpLine

WHAT is a Compliance Program?

...and why do we have one?

NEWS

\$1.00

Recently, government officials have been cracking down on healthcare fraud and abuse, making compliance programs more important than ever. Healthcare fraud can occur through improper documentation and billing, conflicts of interest, improper patient care, and many other areas.



The CHS Corporate Compliance Program:

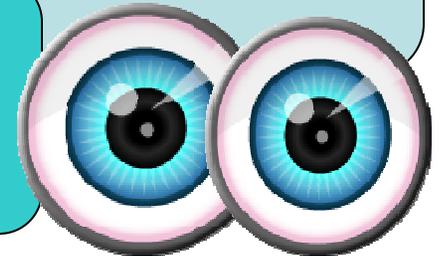
Educates employees on new laws and regulations affecting their role within the system

Identifies potential fraudulent behavior (accidental or intentional) on the front end

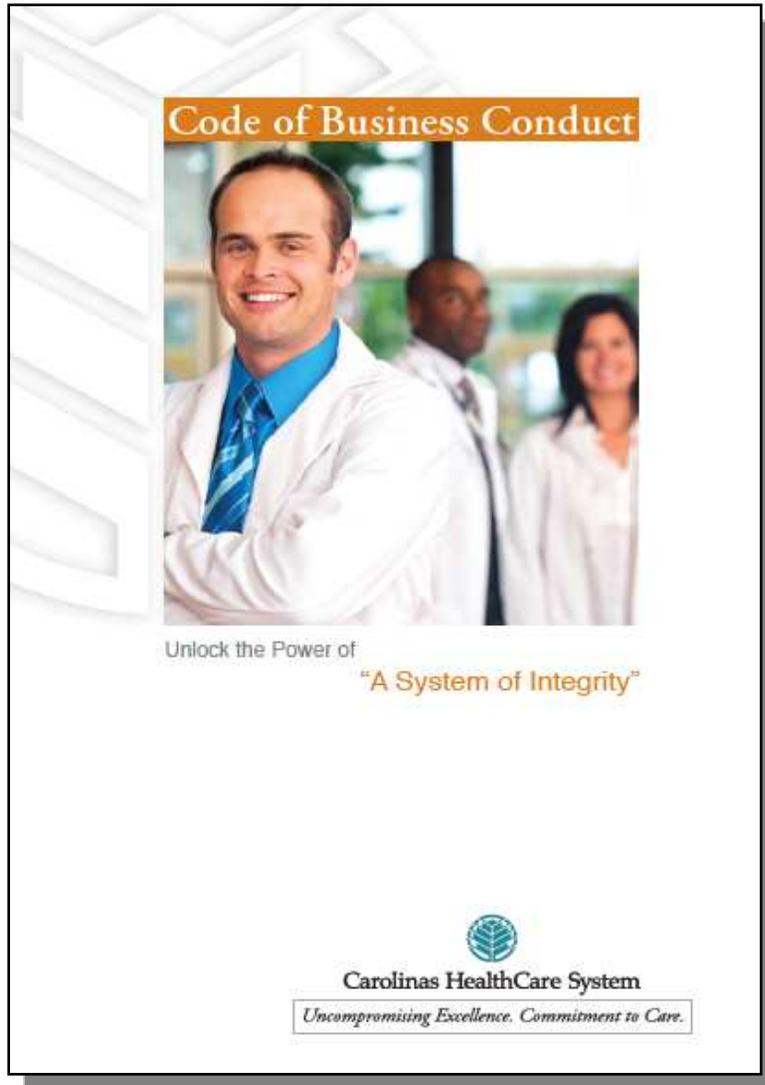
Provides guidelines to follow when we are faced with questions of ethics or good business practices

Encourages employees to do the right thing, all the time, even when no one is looking

Affirms our long-term commitment to fair and ethical business practices



What is our Code of Business Conduct?



Our Code of Conduct, *A System of Integrity*, helps CHS employees uphold the core values of the System by:

- Giving employees guidance on ethical matters including our *Core Values* and *Guiding Principles***
- Providing a clear understanding of what is expected in the work environment; and**
- Explaining what employees should do when faced with difficult situations.**

Critical Compliance Concepts

!Patient Care

!Conflicts of Interest

!Proper Documentation and Billing

!Identifying and Reporting False Claims

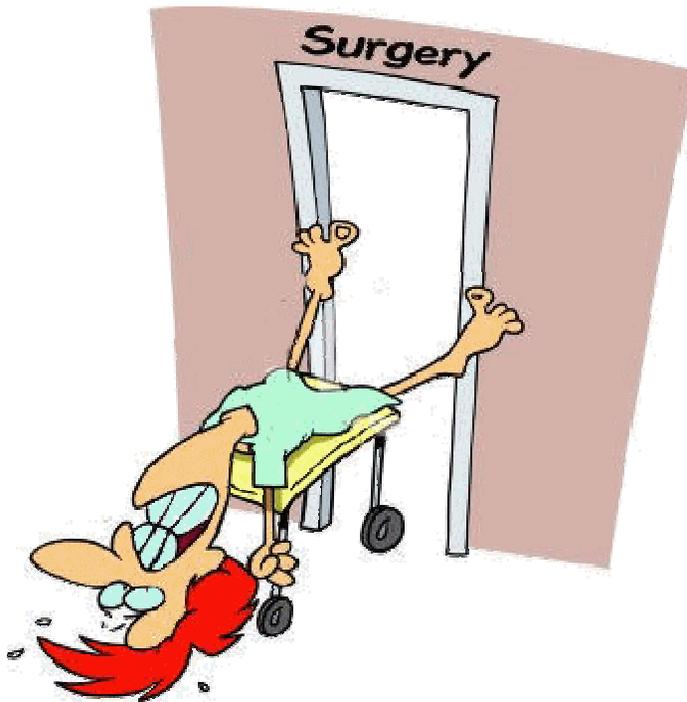
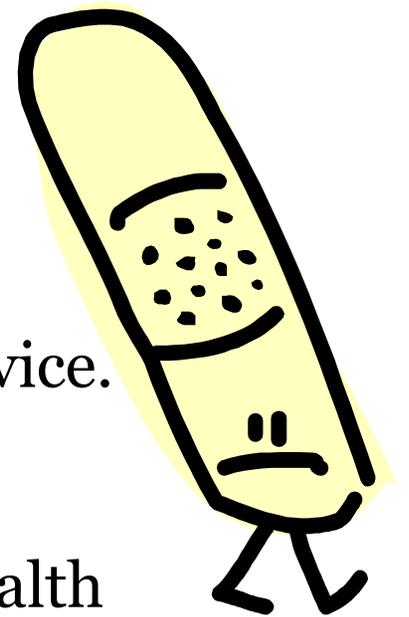
!Reporting Compliance Concerns/Questions

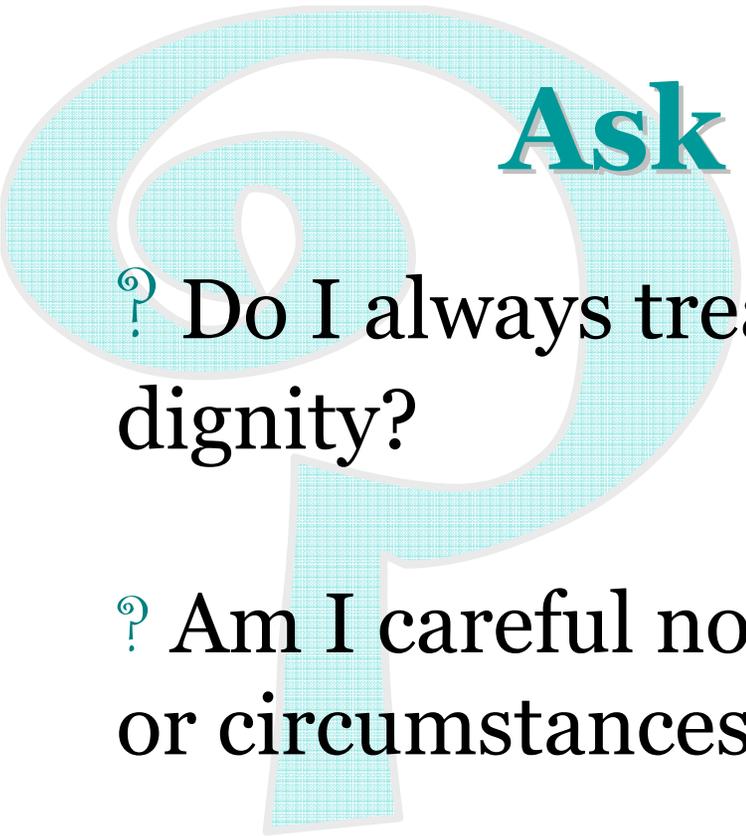


Patient Care

As a System, we expect that all employees will:

- Provide excellent patient care and customer service.
- Treat every patient with dignity and respect.
- Keep protected health information confidential.
- Inform the patient of his/her rights and responsibilities.
- Recognize the patient's right to participate in treatment decisions.
- Provide prompt and courteous response to requests and needs.





Ask Yourself...

? Do I always treat patients with respect and dignity?

? Am I careful not to let my personal feelings or circumstances interfere with patient care?

? Do I respect the privacy rights of our patients?

? Do I respect the confidentiality of patient medical and financial information?

EMTALA

Emergency Medical Treatment & Active Labor Act

Any person who comes to the emergency department must be provided a medical screening examination by a qualified medical professional to determine if they have an emergency medical condition, in which case they must be stabilized or appropriately transferred to another facility.

IMPORTANT POINTS:

EMTALA applies regardless of a patient's **insurance status, race, nationality, etc.**

We are obligated to **provide medical screening** and **respond to external inquiries for transfer.**

Hospitals or physicians who fail to fulfill these obligations will be subject to **fines and penalties.**

Transfers for financial reasons are **never** appropriate.

It is better to accept a transfer that is borderline than to refuse it.



EMTALA stops applying once the patient is **stabilized, admitted as an inpatient, or properly transferred.**

Conflict of Interest

What is it?

A relationship, influence, or activity that impairs or *gives the appearance of impairing* one's ability to make objective and fair decisions in the performance of his/her job.

CHS does not wish to do business through the improper use of business courtesies, gifts, or relationships.

*For more information,
see policy COR 40.17 –
Conflict of Interest*



CONFLICTS OF INTEREST



ACCEPTABLE GIFTS



Use of organizational supplies for personal business

Non-routine business meals of a nominal value for business or educational purposes

Direct or indirect ownership of a company that is a competitor or supplier for CHS.

Promotional items such as pens, notepads, or other items of nominal value

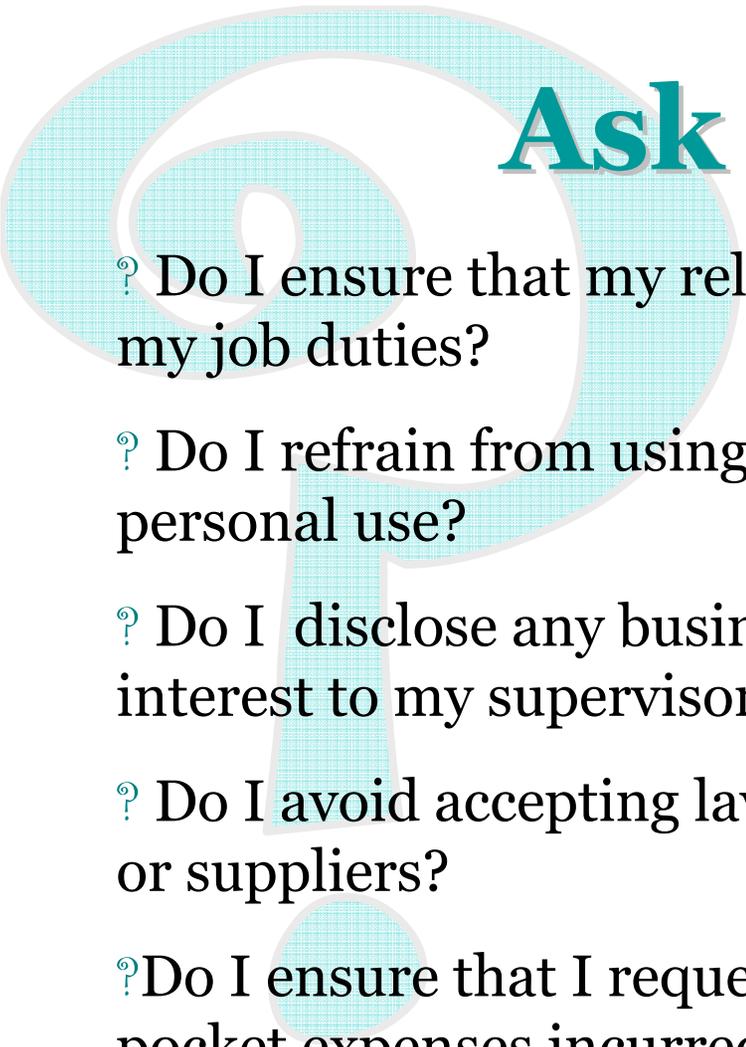
Acceptance of gifts (unless of nominal value) from people doing business or who want to do business with the System.

Educational business travel with prior approval

Hiring or contracting with family members to provides goods or services to the organization.

IMPORTANT

Gifts of CASH or CASH-EQUIVALENTS are not appropriate without prior approval.



Ask Yourself...

- ☐ Do I ensure that my relationships do not influence how I perform my job duties?
- ☐ Do I refrain from using business supplies and equipment for personal use?
- ☐ Do I disclose any business relationship that may be a conflict of interest to my supervisor or the Corporate Compliance Department?
- ☐ Do I avoid accepting lavish gifts or entertainment from customers or suppliers?
- ☐ Do I ensure that I request reimbursement only for normal, out-of-pocket expenses incurred when serving as a speaker or member of an advisory board?
- ☐ Do I contact my supervisor or Corporate Compliance when I am not sure if I can keep a particular gift I have been offered?

Proper Documentation

See Policy COR 40.10

Proper documentation is important in **EVERY** aspect of healthcare delivery.



System records shall be prepared **accurately, honestly, timely,** and in accordance with established **financial, accounting, medical, and legal procedures.**

CRITICAL AREAS THAT REQUIRE PROPER DOCUMENTATION:

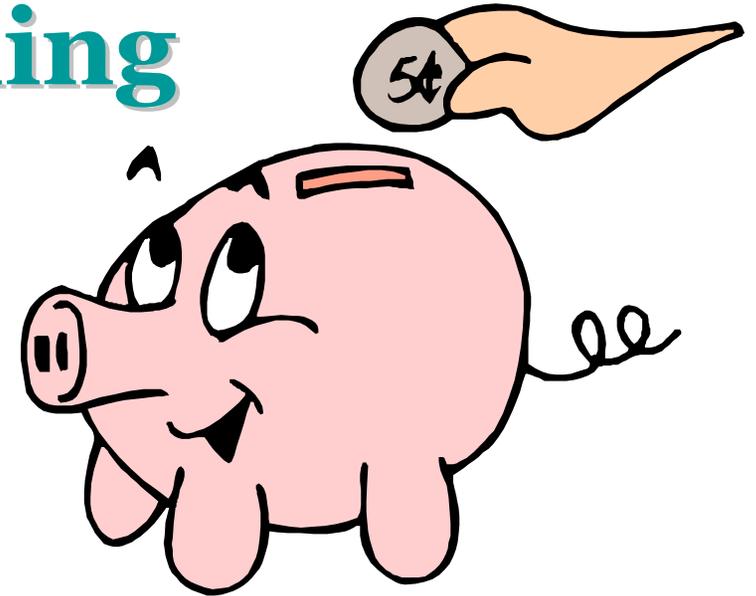
Medical Records

Physician orders for services provided, test results, and dictated reports.

Billing Records

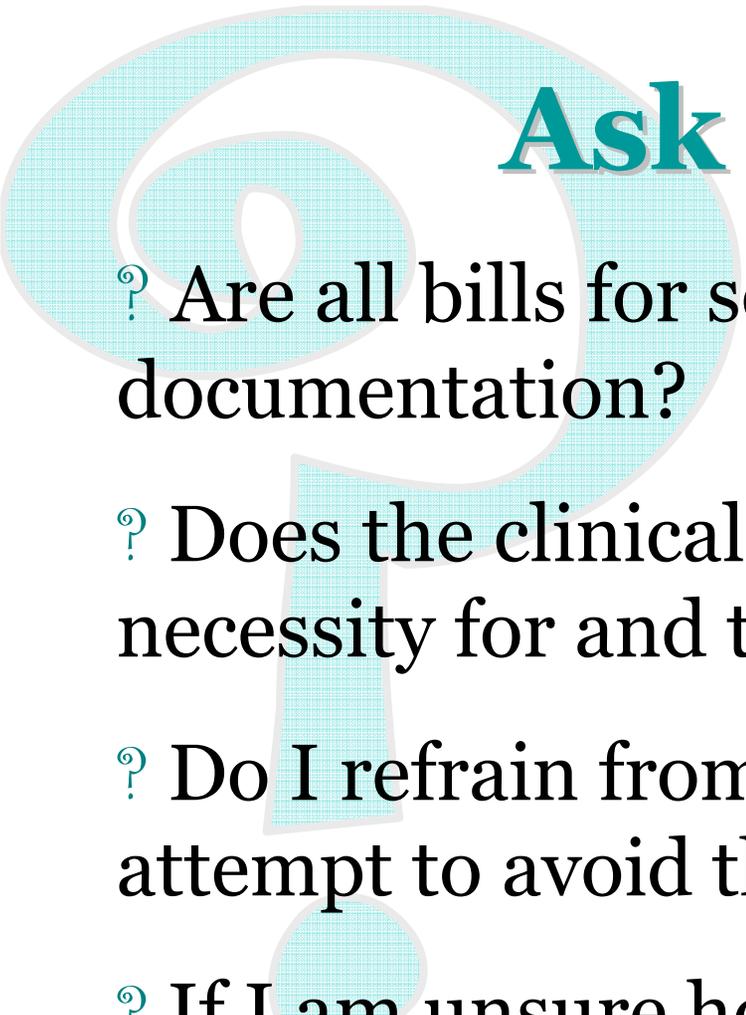
Proper Billing

We bill only for care and services provided which are *properly authorized and documented as medically necessary.*



It is CHS' policy to *refund* any overpayments made as a result of billing errors.

The Patient Protection and Affordable Care Act (PPACA), signed into law March 23, 2010, requires identified overpayments be reported and refunded, including explanation as to the reason for the error.



Ask Yourself...

- ? Are all bills for services supported by clinical documentation?
- ? Does the clinical documentation support the necessity for and the level of services provided?
- ? Do I refrain from altering bills in any way in an attempt to avoid third party edits or denials?
- ? If I am unsure how to properly process a bill, do I request further information to avoid improper billing?

Fraud and Abuse: False Claims



It is a violation of the False Claims Act for a healthcare provider to submit fraudulent or false claims for payment to programs that are funded by federal or state governments, such as Medicare or Medicaid

What is a False Claim?

A “**claim**” includes any request or demand for money that is submitted to the U.S. Government or its contractors. A **false claim** is a **fraudulent** request or demand for money; for example, billing Medicare for services a patient never received.

WHAT DO I NEED TO KNOW?

There are serious consequences, at both a federal and state level, for false claims, including losing Medicare or Medicaid funding, paying penalties, and possibly jail.

Employees who report known or suspected False Claims Act violations in good faith are known as “whistleblowers” and are afforded protection under the law and by CHS (Refer to CHS policy COR 40.06 – Non-Retribution/Non-Retaliation.)



Fraud and Abuse: Reporting False Claims

If an employee knows or reasonably suspects a false or fraudulent claim has been submitted, he or she must report this immediately.

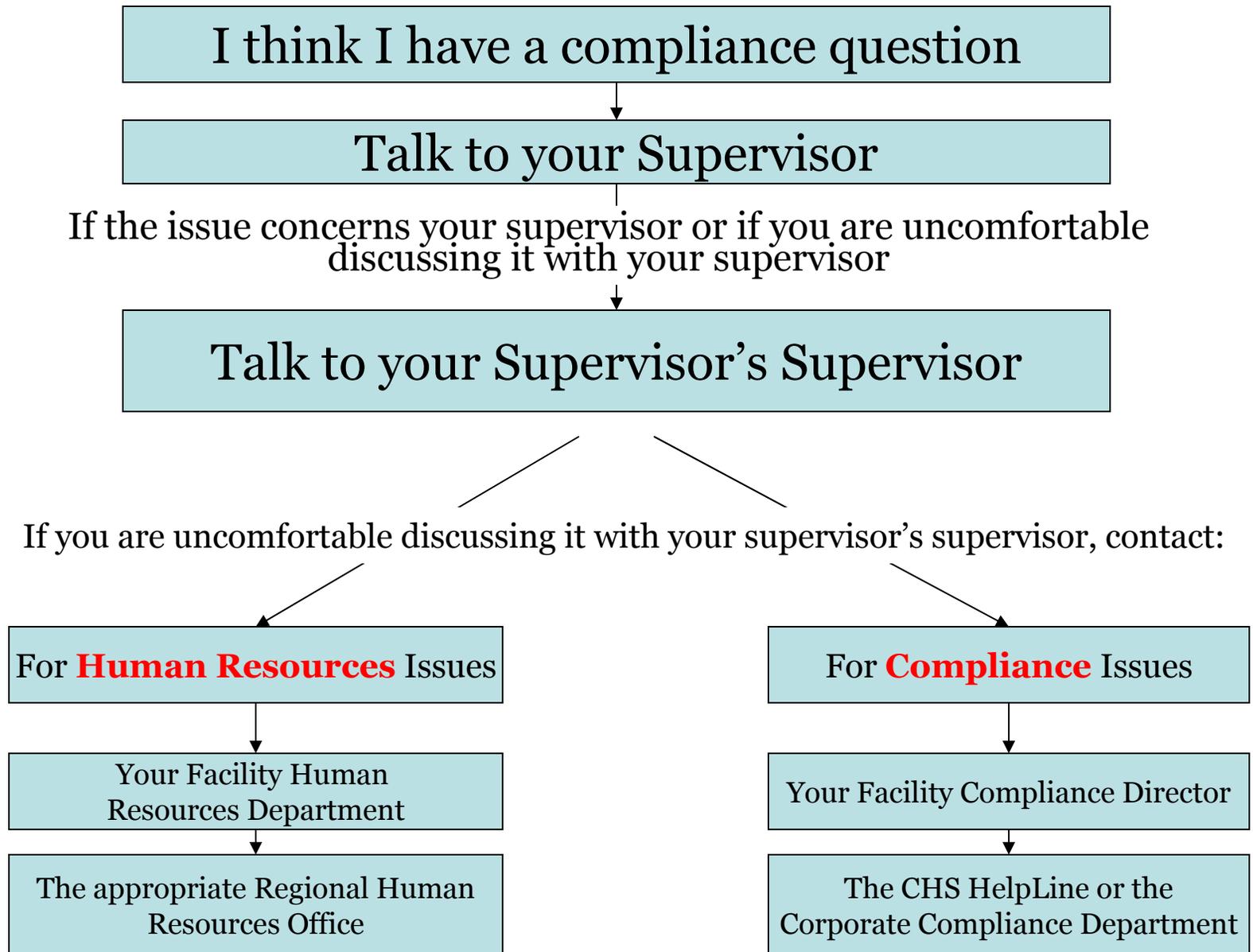
How Do I Report?

Employees may report known or suspected false claims by notifying any of the following individuals:

1. Supervisor or Department Head
2. Facility Compliance Director (FCD) (find your FCD by visiting the Corporate Compliance Website on Synapse)
3. The Corporate Compliance Department
4. The Compliance Help Line

To learn more about how CHS handles reports of wrongdoing, refer to CHS Policy COR 40.12

Reporting Concerns: The Chain of Command



For corporate compliance contact information, visit the Corporate Compliance Website:
<http://sharepoint.carolinas.org/ccd/resources/>

Reporting Concerns: HR or Compliance?

HUMAN RESOURCES

Time sheet/time abuse

Pay rates

Breaks

Work-related training

Job descriptions

Discrimination

Terminations

Promotions

Hiring Practices

Workplace violence

Disagreements among coworkers

COMPLIANCE

Medical record documentation errors

Inaccurate billing or accounting

Falsification of medical or accounting records

Falsification of reimbursement claims

Conflict of interest

Business courtesies/gifts

Inaccurate record-keeping

Failure to collect patient co-pays or deductibles

Reporting Concerns

THE FOLLOWING POLICIES ARE IMPORTANT FOR ALL EMPLOYEES TO KNOW

🔨 *Non-retribution/Non-retaliation Policy (COR 40.06):* No disciplinary action will be taken against any employee for reporting a perceived problem or violation of the CHS Code of Conduct, *A System of Integrity*. For example, an employee cannot be disciplined for making honest reports to the HelpLine or to his/her immediate supervisor.

🔨 *Enforcement and Discipline Policy (COR 40.14):* Failure to follow the CHS Code of Conduct, *A System of Integrity*, may result in disciplinary action including the possibility of termination.

Examples of conduct that may result in immediate termination:

- 1 Willfully providing false information
- 2 Punishment of an employee for reporting a problem
- 3 Failure to report a violation that a reasonable person knows is wrong

The Compliance HelpLine

CHS has contracted with an outside firm for an independent, toll-free Compliance HelpLine, available at **1-888-540-7247**. This provides employees with a way to anonymously report possible violations of the *System of Integrity* or any laws or regulations.

Important Points:

Open 24 hours a day, 7 days a week.

Operated by an independent contractor.

The HelpLine is CONFIDENTIAL.

Calls are forwarded to CHS within 24 hours, emergencies are forwarded immediately.

CHS investigates and responds to all HelpLine inquiries.

Callers may follow up on status of inquiry.

Retaliation against an employee for providing information to the helpline is prohibited.

You have the choice to remain anonymous when reporting concerns to the Compliance HelpLine



THE HELPLINE IS NOT INTENDED TO REPLACE CURRENT PROCEDURES FOR RESOLVING CONCERNS 23



Ask Yourself...

- ❓ Am I familiar with all of the CHS Corporate Compliance Policies?
- ❓ Do I contact my supervisor, my Facility Compliance Director, or the Corporate Compliance Department immediately when I have compliance questions or concerns?
- ❓ Do I understand how to properly utilize the Chain of Command and the Compliance HelpLine?

Dealing With Government Officials

What Should You Do?

If you are contacted by a Government Official or if you are delivered a search warrant, take the following steps:

1. Request the agent's *name* and *agency*
2. Notify your supervisor who will call the administrator on call and the Corporate Compliance and Legal Departments.
3. DO NOT interfere with the agent
4. Request a copy of the search warrant
5. Get a *written inventory* of all items taken by the agent.

**For more
information,
refer to CHS
Policy
COR 40.11**



CHS recommends that you request the presence of legal counsel prior to answering any questions if government officials arrive unannounced at your home.

The background of the slide is white and filled with various sizes and orientations of teal-colored question marks and exclamation points. The text is centered and consists of three lines: 'TEST YOUR' in a bold black serif font, 'COMPLIANCE' in a teal outlined serif font, and 'KNOWLEDGE' in a bold black serif font.

**TEST YOUR
COMPLIANCE
KNOWLEDGE**

Question #1

Phil is a new employee at Carolinas HealthCare System. He is unsure how to handle several situations he's encountered in his new job. In which of the following scenarios can Corporate Compliance help Phil?

- a) Phil just learned about a new regulation and he thinks it may apply to his job.
- b) Phil suspects someone in his department may be engaging in fraudulent behavior.
- c) Phil has an ethical dilemma and needs guidance.
- d) Phil recently had a disagreement with a coworker.
- e) a, b, & c only

Question #2

The CHS Code of Conduct, A System of Integrity,

- a) Gives employees guidance on ethical matters including our Core Values and Guiding Principles
- b) Educates employees on the importance of reporting and their obligation to report instances of wrongdoing using the reporting options
- c) Explains what employees should do when faced with difficult situations
- d) All of the above

Question #3

True or False:

Under EMTALA, we are obligated to provide a medical screening examination to *any* person requesting examination for an emergency medical condition when he/she comes to the emergency department or presents anywhere on hospital property.

Question #4

Consequences for the submission of false claims:

- a) Exist at both the federal and state levels
- b) Include potentially losing Medicare or Medicaid funding
- c) Include monetary penalties
- d) Include possible jail time
- e) All of the above

Question #5

Haley is unsure if she can keep a gift of \$100 cash from a grateful family member for providing excellent patient care. Who should she contact?

- a) Corporate Compliance
- b) Her Supervisor
- c) Mr. Tarwater
- d) A or B
- e) The Office of General Counsel

Question #6

A patient account representative recently discovered a billing error in a Medicare claim for a procedure. What should the hospital do?

- a) Correct the billing error
- b) Nothing
- c) Donate the extra money to the hospital's charity fund.
- d) Do not charge Medicare the next time the procedure is performed.

Question #7

True or False

A physician can bill for a procedure even if the documentation does not show that the procedure was performed.

TRUE

FALSE

Question #8

Cam is unsure how to properly process a bill. Everyone in his department is very busy, and he hates to interrupt them. He also is aware that he should not process a bill incorrectly.

What should Cam do?

- a) Send a message to his supervisor that he needs guidance on the proper procedures to follow.
- b) Review the job aide on proper billing procedures provided by his supervisor.
- c) Go ahead and process the bill because he has many others to process before he clocks out.
- d) A and B only

Question #9

Which of the following is an example of a false claim?

- a) Billing Medicare for services never provided
- b) Intentionally billing Medicare for undocumented services
- c) Billing Medicare for a more expensive procedure than the one actually performed in order to generate more revenue for the hospital.
- d) All of the above

Question #10

You can report a concern to the CHS Compliance Department by:

- a) Calling the Helpline to make an anonymous report**
- b) Emailing the Corporate Compliance Department**
- c) Using the Corporate Compliance link on Synapse**
- d) All of the above**

Attestation to the “System of Integrity”

I attest that I have received a copy of the CHS Code of Conduct, “A System of Integrity”, and have been oriented on its contents. I understand that failure to comply with the Compliance Plan and the rules outlined in “A System of Integrity” may lead to disciplinary actions, including possible termination of employment. The Compliance Plan policies and procedures are located on Synapse, the CHS Intranet website.

Employee Name: (Print) _____

Employee Name: (Signature) _____

Date: _____

Test Score: _____

Manager Name: _____

Facility: _____ **Dept:** _____