


Design a **Useable** Compliance Policy for Physician Practices


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Short and Sweet

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- Compliance Policies **don't need to be lengthy.**
- Say what you need to say and **use the policy.**
- **Mean what you say** ~ Forget the window dressing
Don't print things that you do not intend to follow!
- Follow the **basic guidelines set forth by the OIG** (don't reinvent the wheel!)
- **Review** and **Revise** the policy **yearly.**



Who?

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- **Individual and Small Group Physician Practices.**
 This is "**voluntary**" at this point in time.

The OIG has **not stated "when"** physician groups will be **required** to have a compliance policy in force.

However, many physician practices have implemented a compliance policy in order to assist their offices from "**submission of erroneous claims or engage in unlawful conduct...**" (Page 59434, Oct. 5, 2000 Fed. Register)

WHO?

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- The OIG further states that although the **October 2000 OIG Guidelines** reference “small and large practice” the **intent is for all physician practices that may not have the same type of resources** (financial and staffing) as an institution (such as hospital or skilled nursing Home.)



What?

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- What specifics does the OIG suggest that a compliance policy should consist of?
- **Seven Basic Components:**
 - 1. Conduct internal monitoring and auditing;
 - 2. Implementing compliance and practice standards;
 - 3. Designating a compliance officer or contact;
 - 4. Conducting appropriate training and education;
 - 5. Responding appropriately to detected offenses and developing corrective action;
 - 6. Developing open lines of communication; and
 - 7. Enforcing disciplinary standards through well –publicized guidelines. (Federal Register , Oct. 5, 2000, page 59434)



When?

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- Now ~
- The **OIG has not stated “when”** this voluntary recommendation will be made “mandatory” but it is just a matter of time....

• HCCA has a social network where questions can be asked..



- **Know your resources!**





Where?

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- **Where do you find the tools and resources you need to develop a compliance plan (beside the HCCA?)**

1. **Federal Register** /Vol. 65, No. 194 / Thursday , October 5, 2000 / Notices, <http://www.gpo.gov/fdsys/pkg/FR-2000-10-05/pdf/00-25500.pdf>
2. **AAFP's Family Practice Magazine**, January 8, 2001, Seven Steps to Medicare Compliance , <http://www.aafp.org/fpm/2001/0100/p41.html>
3. **AMA Physician Compliance**, <http://www.ama-assn.org/ama/pub/physician-resources/legal-topics/regulatory-compliance-topics/health-care-fraud-abuse/federal-fraud-enforcement-physician-compliance/compliance-planning/physician-compliance.page>

Why?

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- The OIG states that “voluntary compliance programs**provide benefits..... to help prevent** erroneous or fraudulent claims, **but also** by showing that the physician practice is making **additional good faith efforts** to submit claims appropriately.” (Federal Register, Oct. 5, 2000, Page 59435)



How?

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- **Lets start writing!**
- If you have a lap top (or want to write) please feel free to start designing the template for your compliance policy ~
- We are going to use the basic principals set forth by the **OIG's October 5, 2000 Guidelines**



Page 1 of the Compliance Policy

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- 1. The **Name of Your Organization, Title of the Document** and **Today's Date**.
- 2. **Introduction** as to “why” you are writing this policy (example is “code of conduct” or perhaps “goals” of this document.)
- 3. **Statement about the “purpose”** or intent of the new compliance policy.

Example of Page 1 of your New Policy

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Heading: Bloink Community Physicians
Compliance Policy
April 24, 2013

Code of Conduct: “Google” **Code of Conduct** for Healthcare Compliance and you will find many examples!

Compliance Program: Why do you want a Compliance Policy? What rules do you want to comply with? Are there specific steps / components to follow? Use the Federal Register , October 5, 2000 Vol 65, NO 194 as your guide!

Page 2 of the Compliance Policy

⑫

- 4. **List the seven (7) elements / components** from the Federal Register (October 2000) as the steps you will follow; and how you intend to follow those steps.

Example:
Conduct internal monitoring and auditing through the performance of a periodic audit (Federal Register, step 1, page 59437.) The Director of Compliance will oversee that routine audits are performed on all Bloink Community Providers. The audit sample will be random and will include XXX, XXX, XXX.

Page 3 of the Compliance Policy

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- **Continue to write about each of the seven (7) steps that the Federal Register describes.** This is what the OIG recommends; and therefore should be in your policy.
- After each of the seven (7) steps, **briefly state how you plan on achieving that particular goal.**

Example: Step 6: Developing Open Lines of Communication. How does your organization propose to establish "open lines of communication?"

Page 2 and 3 of the Compliance Policy – Cont.

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- The **Seven (7) steps** are found on the following pages of the **Federal Register (October 5, 2000, Vol. 65., No. 194)**
- 1. **Step One:** Auditing and Monitoring (**page 59437**)
- 2. **Step Two:** Establish Practice Standards and Procedures (**page 59438**)
- 3. **Step Three:** Designation of a Compliance Officer Contact (**page 59441**)

Cont. – next slide-

Page 2 and 3 of the Compliance Policy – Cont

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- 4. **Step Four:** Conducting Appropriate Training and Education (**page 59442**)
- 5. **Step Five:** Responding To Detected Offenses and Developing Corrective Action Initiatives (**page 59443**)
- 6. **Step Six:** Developing Open Lines of Communication (**page 59443**)
- 7. **Step Seven:** Enforcing Disciplinary Standards Through Well Publicized Guidelines (**page 59444**)

Page 4 of the Compliance Policy

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- **Conclusion.** Use a **statement at the end** that wraps up this document.

Example: With ongoing education, auditing and enforcement in the area of compliance, Blook Community Physicians will strive to adhere to all state, federal and insurance (contracted) guidelines relating to legal and ethical practices.


Page 4 of the Compliance Policy- Cont.

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- **End your policy** with an **Acknowledgement** that each provider and key management personnel **sign.**

Example: I have read and agree to comply with the standards of this Compliance Plan. I agree to act ethically and to ask questions if I do not understand the Blook Community Physicians Compliance Policy.

 Printed Name Signature Date

Questions? 

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- Look at the October 5, 2000 Federal Register (Vol 65, No 194) **that is attached** to assist you with completing your Compliance Policy outline!
- Feel free to ask questions or discuss what might have worked for you in your organization!

Thank you for participating today and I wish you well with the design of your new Compliance Policy! J. Blook
