



**2018 COMPLIANCE PROGRAM
and CODE OF CONDUCT**

Compliance Begins with you

Learning Objectives

After completing this training module, you should be familiar with:

- ▶ The IntegraNet Health Compliance Program.
- ▶ The IntegraNet Health Code of Conduct.
- ▶ Laws that govern healthcare compliance.
- ▶ How to report suspected non-compliance.



Compliance and Ethics

What is compliance?

- ▶ In its simplest form, compliance means following a rule or request. In healthcare, when we talk about compliance, we refer to following the rules, regulations, policies, and laws created by the government, insurance programs, and payers.

What is ethics?

- ▶ Ethics simply means doing the right thing. Ethics goes beyond what is allowed by laws and regulations.

What is IntegraNet Health's philosophy regarding compliance and ethics?

- ▶ IntegraNet Health will fully comply with all applicable federal and state laws, regulations, standards, and other compliance requirements at all levels of government and within the various health professions employed at IntegraNet. We will not pursue any business opportunity that requires unethical or illegal activity.
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Compliance Program

The IntegraNet Health Compliance Program

A Compliance Program has been established at IntegraNet Health to assist our organization in promoting our commitment to the highest legal and ethical standards.

- ▶ This program has the commitment of everyone at IntegraNet; including all boards and committees, senior management, physicians, employees, vendors, and others associated with IntegraNet
- ▶ This program provides education, conducts investigations where there are allegations of misconduct, and takes part in monitoring activities; such as an audit, to assess areas of risk within the organization.
- ▶ This program provides a pro-active approach to compliance thereby helping the organization maintain its commitment to the highest level of compliance and ethical standards.
- ▶ Compliance is part of all our jobs and depends on everyone's participation for continued success.



Elements of IntegraNet Health's Compliance Program

IntegraNet Health's Compliance Program includes the seven elements of an effective compliance program as defined by the US Federal Sentencing Guidelines:

- ▶ Written standards of conduct and policies and procedures that promote commitment to compliance.
- ▶ A Compliance Officer to oversee the program.
- ▶ Compliance education and training for all new hires, with annual training for all staff.
- ▶ Processes to receive anonymous complaints and to allow complaints from staff without any fear of retaliation.
- ▶ Responding to allegations of improper activities and, when necessary, developing a corrective action plan.
- ▶ Auditing and monitoring to identify areas of potential risk.
- ▶ Investigation and remediation of identified systemic problems and non-employment or retention of sanctioned individuals.



Compliance Policies

As required by the Federal Sentencing Guidelines, IntegraNet Health has policies and procedures in place to ensure compliance with laws and regulations.



Standards and Commitments

- ▶ **STANDARD: Quality of Care and Services**
 - ▶ **COMMITMENT: To improve the health of the community we serve by providing the highest quality health care services in a caring and efficient manner.**

 - ▶ **STANDARD: Privacy and Confidentiality**
 - ▶ **COMMITMENT: To fulfill regulatory standards designed to handle all facets of information management; including reimbursement, coding, security, and patient records.**

 - ▶ **STANDARD: Coding/Billing Integrity and Record Keeping**
 - ▶ **COMMITMENT: To maintain accurate records for services rendered.**

 - ▶ **STANDARD: Customer Service**
 - ▶ **COMMITMENT: To apply the Customer Service Standards, which are core to our values, to every interaction with every individual always focusing on servicing our patients and families.**

 - ▶ **STANDARD: Compliance with Laws and Regulations**
 - ▶ **COMMITMENT: To require all staff members conduct their individual duties and all IntegraNet operations in a manner that meets all applicable legal, ethical, and regulatory standards.**
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Standards and Commitments

- ▶ **STANDARD: Work Place Conduct and Employment Practices**
 - ▶ **COMMITMENT: To create a work environment in which employees, physicians, and others are treated respectfully, fairly, and afforded opportunities for professional development.**

 - ▶ **STANDARD: Research**
 - ▶ **COMMITMENT: To follow ethical standards in any research conducted by physicians and other professional staff.**

 - ▶ **STANDARD: Conflicts of Interest**
 - ▶ **COMMITMENT: To regulate our activities to avoid conflicts of interest, actual impropriety, and/or an appearance of impropriety.**

 - ▶ **STANDARD: Protecting Property, Assets, and Information**
 - ▶ **COMMITMENT: To protect both our assets, and those assets of others entrusted to us, against loss, theft, destruction, and misuse.**
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Code of Conduct

Ethical Behavior Policy

- ▶ Following the Code of Conduct is mandatory for all IntegraNet Health employees, staff, and affiliated persons. While the Code of Conduct provides a basic description of unacceptable conduct or performance it does not cover all behaviors that may occur in the workplace.
- ▶ Failure to comply with the code is a serious matter and can lead to disciplinary action, up to and including termination.

Decision-Making

At times, a difficult situation may present itself and the right decision may not be clear or easy to make. As you consider possible actions to take, ask yourself these questions:

- ▶ Is there a law or regulation that governs the situation? If there is, the law should be followed always.
 - ▶ Is there an internal policy or procedure that governs the situation? Would my action be consistent with IntegraNet Health commitment to the highest ethical standards?
 - ▶ How would my actions be seen by someone outside the organization?
 - ▶ Would I feel comfortable explaining my actions to my friends and family?
 - ▶ What would the most ethical person I know do?
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Code of Conduct

Doing the right thing is not always easy. We have all been tempted to take the easy way even if it was not the best way. Try to avoid these excuses for behavior that may not meet the requirements of our Code of Conduct:

- ▶ All the other healthcare facilities are doing it this way.
- ▶ No one will ever know.
- ▶ I don't have time to do it the right way.
- ▶ I saw my supervisor doing it the other day.
- ▶ That policy wasn't meant to apply to me.
- ▶ After all I have given this organization, I deserve something in return.

There are many resources available to help you determine if there is a law, regulation, policy, procedure or standard that would apply to a situation you are faced with:

- ▶ Your supervisor
 - ▶ Human Resources
 - ▶ Compliance Department
 - ▶ Compliance Hotline
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Code of Conduct

Your Responsibility

IntegraNet Health's commitment to compliance depends upon everyone's participation for its continued success.

To fulfill your role, you must commit to the following:

- ▶ Complete all annual compliance training assigned to you and sign a commitment form.
- ▶ Watch for problem areas (areas of non-compliance) while on the job. If you are aware of a violation of the Code of Conduct, it is your **OBLIGATION** to report it.
- ▶ As a condition of employment, agree to read and abide by the Code of Conduct and policies and procedures.



IntegraNet Health Compliance Officer

IntegraNet Health's Compliance Officer is Jesse Velasquez, IT Director, Compliance and Safety Officer. Jesse oversees the Compliance Program and is accountable to the Board of Directors.

IntegraNet Health's Compliance Officer

Jesse Velasquez

(832) 456-2622

PrivacyOfficer@integranethealth.com



Education and Training

Employees are educated and trained to:

- ▶ Comply with laws, policies, and procedures.
 - ▶ Spot potential compliance concerns such as:
 - Unethical or illegal behavior
 - Medically unnecessary services being provided
 - Unfair or discriminatory treatment of a patient or employee
 - Billing or coding errors that benefit IntegraNet
 - Unauthorized use or disclosure of Protected Health Information (PHI)
 - Misuse of IntegraNet Health property
 - Fraud, waste, or abuse
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Conflict of Interest and Anti-Kickback Statute

A potential conflict of interest exists when you or a member of your family works for or has a financial relationship with a company that does business with, seeks to do business with, or competes with IntegraNet.

The Anti-Kickback Statute prohibits payment for referrals from physicians. No employee may take, offer, or give anything to or from a physician in exchange for the referral of patients.



False Claims Act

The False Claims Act imposes liability on any person who submits a claim to the federal government that he or she knows (or should know) is false. An example may be a physician who submits a bill to Medicare for medical services she knows she has not provided.

The False Claims Act also imposes liability on an individual who may knowingly submit a false record to obtain payment from the government. An example of this may include a government contractor who submits records that he knows (or should know) is false and that indicate compliance with certain contractual or regulatory requirements.

The third area of liability includes those instances in which someone may obtain money from the federal government to which he may not be entitled, and then uses false statements or records to retain the money. An example of this so-called “reverse false claim” may include a hospital who obtains interim payments from Medicare throughout the year, and then knowingly files a false cost report at the end of the year to avoid making a refund to the Medicare program.

There are stiff financial penalties for violations of the False Claims Act. False claims can result in exclusion from Medicare and/or Medicaid Programs.



Healthcare Fraud and Abuse

Healthcare Fraud

- ▶ Generally, refers to intentional deception that could knowingly result in benefit to the individual or organization. For example:
 - Billing for services or supplies not actually furnished
 - Signing blank records
 - Falsifying information on records
 - Offering bribes, payment or incentives in exchange for healthcare referrals
 - Misrepresenting unnecessary services as covered and medically necessary.
 - Assigning diagnosis and procedure codes based upon coverage requirements and not based on the actual services performed and actual patient diagnoses.

Healthcare Abuse

- ▶ Practices that lead to unnecessary costs to healthcare payers. This differs from fraud in that there is no evidence that the act was committed intentionally. For example:
 - Charging excessively for services or supplies
 - Providing services that do not meet professional standards
 - Billing Medicare as Primary when it is truly Secondary
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Monitoring and Reporting

IntegraNet Health continues to review its business activities ensuring employees are abiding by law and established policies.

Examples of ways IntegraNet Health monitors its activities include:

- ▶ Performing background checks on new employees.
- ▶ Auditing departments to ensure they are following established policies and procedures.
- ▶ Sanction screening to ensure physicians and staff are eligible to participate in Medicare and Medicaid programs.

If the situation permits, employees are encouraged to notify their supervisor or use their normal chain-of-command to report a compliance issue, any observed or suspected HIPAA breach, or concern.



Non-Retaliation

No one will be punished, employment terminated, or retaliated against simply for reporting a compliance-related problem.

IntegraNet Health encourages and expects employees to report any concerns or suspected violations to the Compliance Officer:

Jesse Velasquez, (832) 456-2622

PrivacyOfficer@integranethealth.com .

Reports can also be made anonymously to

PrivacyOfficer@integranethealth.com .



Investigations

All reported concerns will be reviewed.

A suspected violation brought to the attention of management will be reviewed promptly and reported to appropriate parties, who will assist in resolving the problem.

All reported information will be kept confidential and only shared with those individuals who need to know to investigate, to correct the situation, or as required by law.



Penalties

If an organization or person is found to be in violation of fraud, waste, and/or abuse laws or other healthcare regulations, the penalties are severe!

- ▶ Disciplinary action up to and including termination.
- ▶ Exclusion from participation in Medicare and Medicaid programs.
- ▶ Fines.
- ▶ Jail sentences for employees, administrators, and physicians.



Annual Review and Additional Training

The Code of Conduct, as well as all compliance related training documentation, will be reviewed and approved annually by the IntegraNet Health Compliance Committee during their annual board meeting.

For more information or to discuss any part of IntegraNet Health's commitment to compliance, please contact:

IntegraNet Health's Compliance Officer

Jesse Velasquez

(832) 456-2622

PrivacyOfficer@integranethealth.com

