

Elements of an Effective Compliance Program

Federal Sentencing Guidelines and Office of Inspector General (OIG) define the elements of an effective compliance program

OIG Compliance Program Guidance for the DMEPOS Industry

- Implement written policies, procedures and standards of conduct
- Designate a compliance officer and compliance committee
- Conduct effective training and education
- Develop effective lines of communication
- Enforce standards through well publicized disciplinary guidelines
- Conduct internal monitoring and auditing
- Respond promptly to detected offenses and developing corrective action

Why Important?

- Raise awareness
- Mitigation factor
- Communicate commitment
- Reduce threat of qui-tams
- Makes good business sense
- Minimizes impact of CIA (corporate integrity agreement)

Written Policies and Procedures

- Standards of conduct
- Written policies for risk areas
- Claims development and submission
- Anti-kickback and self referral concerns
- Marketing
- Retention of records

Designation of a Compliance Officer and a Compliance Committee

- Compliance Officer
 - Creation of CCO role
 - Governance oversight
 - Access to BOD
- Compliance Committee

Conducting Effective Training and Education

- Initial training in compliance
- Format of training program
- Continuing education on compliance issues
- **Share Point:** What do you do for training?

Developing Effective Lines of Communication

- Access to the compliance officer
 - Visibility
- Hotlines and other forms of communication
 - Posters
 - Newsletter articles
- **Share Point:** other communication tools used?

Auditing and Monitoring

- Monitoring
 - Essential management tool for prevention, analysis and correction of potential quality/compliance issues
 - Ongoing activity
- Auditing
 - Provides an independent assurance of compliance
 - Can result in detection, analysis, correction and remediation of quality/compliance issues
 - Based on
 - High volume, repetitive services
 - Annual risk assessment
 - Regulatory changes
 - Potential problem reported/identified

Enforcing Standards through Well Publicized Disciplinary Guidelines

- Discipline policy and actions
 - Ensure consistency in application of sanctions
- New employee policy
 - Initial and annual screening of employees to ensure eligibility to participate in government funded programs

Responding to Detected Offenses & Developing Corrective Action Initiatives

- Violations and investigations
 - Develop investigative report tools
 - Monitor completion of action plans
 - Track overpayment processing
- Reporting
 - Ensure timely disclosures
 - Respond to regulatory/law enforcement requests

Supplier & Quality Standards

Are you meeting the standards?

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