

General Medicare Compliance Training

For First-Tier, Downstream, and Related
Entities (FDRs)

Spring 2013

Medicare Contractor Expectations

- CMS Medicare Advantage and Medicare Part D Plan Sponsors are required to distribute certain information about compliance and fraud, waste, and abuse expectations to contracted entities that perform administrative or health services on their behalf.
- These contracted entities are referred to as “First-Tier, Downstream, and Related Entities” or FDRs in the Medicare regulations.
- Your organization has been identified as and FDR of Presbyterian Health Plan, and this training presentation is being distributed to you to ensure compliance with Medicare expectations.

What is a Compliance Program?

- A compliance program is a set of activities that:
 - Prevents and detects violations of law and company policy.
 - Defines expectations for employees and business partners regarding ethical business conduct.
 - Demonstrates the organization's commitment to 'doing the right thing.'
 - Encourages problems to be reported.
 - Provides mechanisms for internal monitoring and auditing.

Presbyterian Health Plan Compliance Contact

To report a compliance or FWA concern to
Presbyterian contact:

Ann U. Greenberg, CHC, CCEP, CHP

Director of Compliance

Telephone: 505-923-8598

Agreenber@phs.org

Or call the Compliance Hotline at: 1-888-435-4361

Code of Conduct

- The Presbyterian Code of Conduct sets expectations for all employees, leadership, and governing body members to follow. These standards of conduct are guiding principles for how we conduct our business.
- FDRs who represent Presbyterian are also accountable for conducting themselves in accordance with our Code of Conduct when performing services for or on behalf of Presbyterian.
- A copy of the Presbyterian Code of Conduct is included with the training materials your organization received.

Policies and Procedures

- Presbyterian maintains policies and procedures related to its compliance program expectations. These policies are summarized in the compliance materials your organization received.
- Additional information about our policies and procedures is available by contacting the Presbyterian contract manager or the Director of Compliance.
- When new CMS regulations or guidance are issued, Presbyterian will work with your organization to communicate changes and implement any necessary changes to business processes.

Compliance and FWA Training

- FDRs are responsible for training their workforce regarding Presbyterian's compliance expectations outlined in this slide presentation.
- FDRs are also responsible for training their workforce regarding Federal Fraud, Waste, and Abuse (FWA) laws.
- CMS approved FWA training is available on-line at:
<http://www.cms.gov/Outreach-and-Education/Medicare-Learning-Network-MLN/MLNProducts/ProviderCompliance.html>

Open Lines of Communication

- Open Door Policy
 - Presbyterian strives to maintain an environment where all employees and contractors feel comfortable raising concerns.
 - Our leadership is available to answer questions and help identify resources to help contractors understand organizational policies and regulatory requirements.
- Compliance Hotline
 - Anyone may leave an anonymous report on the Compliance Hotline.
 - All reports will be investigated.

Non-retaliation

- Presbyterian encourages any individual to report compliance concerns and violations (this includes an violation of law, company policy and procedures, or standard of conduct).
- Presbyterian has a strict non-retaliation policy for any report made in good faith.
- Anyone who retaliates against an employee or contractor for reporting a compliance concern or violation will be disciplined consistent with Presbyterian policy.

Investigating Compliance and FWA Reports

- All reports of known or suspected compliance concerns and violations will be investigated.
- Reports will be kept confidential to the extent possible.
- Confirmed compliance violations will be resolved using corrective action plans.
- When noncompliance by an FDR is confirmed, Presbyterian may take actions under the applicable contract terms, up to and including termination of contract.

Monitoring and Auditing

- Presbyterian routinely assesses its business practices to identify high risk areas and prioritize its monitoring and auditing efforts.
- All contracts are subject to monitoring and auditing activities to identify and correct compliance issues.
- FDRs may be asked to assist with monitoring and auditing efforts.
- If non-compliance is detected, a corrective action plan will be developed. FDRs are expected to cooperate with the corrective action plan.

Expectations for FDRs

- Be familiar with the Presbyterian Compliance Program.
- Know, understand, and abide by the Presbyterian Code of Conduct.
- Follow applicable Presbyterian policies and procedures.
- Train your workforce on Compliance and FWA requirements.
- Report any known or suspected compliance violations to Presbyterian timely.
- Assist and cooperate with Compliance Program activities when requested, including monitoring activities and corrective action plans.