**Applicability:** UW Medicine\(^1\) and UW Medicine Affiliated Covered Entity\(^2\)

**Policy Title:** Corrective Actions

**Policy Number:** COMP.006

**Superseded Policies:**
- PP06 Corrective Actions for Noncompliance with Privacy and Information Security Policies
- HMC, 135.3 Compliance Program Investigations, Enforcement and Prevention
- HMC, 135.15 Compliance Corrective Actions and Sanctions
- VMC, Corporate Compliance Issue Remediation Policy & Procedure
- VMC, Corporate Compliance Corrective Action Policy & Procedure
- UWMC, 15-9 Organizational Response
- UWNC, Compl011 Organizational Response to Compliance Violations

**Date Established:** October 11, 2017

**Date Effective:** October 11, 2017

**Next Review Date:** October 11, 2020

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**PURPOSE**
This policy obligates UW Medicine to address compliance violations with appropriate and timely corrective actions. It applies to all designated institutional officials in UW Medicine who have responsibility for enforcement, discipline and corrective actions. This includes leaders, managers, chairs, supervisors, disciplinary boards and councils, and constituent-specific officials (for example, residing in human resources, academic personnel, graduate medical education, student affairs, etc.).

**DEFINITIONS**
See UW Medicine Compliance Glossary.

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\(^1\) UW Medicine refers to the seven UW Medicine entities: Harborview Medical Center (HMC), Valley Medical Center (VMC), UW Medical Center (UWMC), UW Neighborhood Clinics (UWNC), UW Physicians (UWP), UW School of Medicine (UW SoM), and Airlift Northwest (ALNW).

\(^2\) The University of Washington (UW) is a hybrid covered entity under the Health Insurance Portability and Accountability Act of 1996 (HIPAA), comprised of healthcare and non-healthcare components. For the purposes of HIPAA, the UW has designated healthcare components, and further designates a group of healthcare components to be one affiliated covered entity known as UW Medicine Affiliated Covered Entity (UW Medicine ACE). Healthcare components of the UW Medicine ACE are represented in 101.G1 University of Washington (UW) HIPAA Designation – UW Medicine – Affiliated Covered Entity.
POLICY
All findings of noncompliance established by a compliance official with scope and jurisdiction over the issue\(^3\) result in the application of appropriate corrective actions, by a designated institutional official,\(^4\) involving one or more of the following:

- Required/appropriate notifications;
- Process improvements;
- Claim corrections;
- Repayments;
- Changes to the terms and conditions of a workforce member’s relationship with UW Medicine:
  - Disciplinary actions or sanctions, up to and including termination of the workforce member’s relationship with UW Medicine;
  - Changes in staffing;
  - Contract termination;
- Issuance of an advisory;
- Re-education and training; \textit{and/or}
- Other appropriate corrective action.

Designated institutional officials consider the following factors in determining what corrective actions are appropriate for workforce members:

- Prior violations and sanctions;
- The nature, severity and extent of the violation;
- Whether the violation is a result of conduct that is intentional, willful or with reckless disregard for the law;
- Terms and conditions of the workforce member’s relationship with UW Medicine, as determined by constituent-specific policies, state regulations, conduct codes and applicable guidelines; \textit{and}
- Whether or not the violation was self-reported (self-reporting does not exempt a workforce member from corrective action but will be taken into account).

Designated institutional officials maintain all documentation associated with corrective actions in accordance with UW Medicine constituent-specific record retention policies.

REGULATORY/LEGISLATION/REFERENCES

\(^3\) See COMP.005 Compliance Investigations.

\(^4\) Violations of federal or state laws may also be subject to criminal prosecution, fines, imprisonment and/or exclusion from participation in federally sponsored healthcare programs.
• Employee Education About False Claims Recovery, Deficit Reduction Act of 2005 § 6032 (codified at 42 U.S.C. § 1396a(a)(68)).
• Relief from Retaliatory Actions, Federal False Claims Act, 31 U.S.C. §3730(h).

PROCEDURE ADDENDUM(s) REFERENCES/LINKS
• UW Medicine Compliance Glossary.
• NWH, 75.08 Corrective Action/Discipline.
• UWP, C012 Corrective Action Policy and Procedure.
• UWP, C-006 Addressing Reported Concerns.

APPROVALS

/s/ Sue Clausen 8/29/2017
Sue Clausen, Date
Chief Compliance Officer, UW Medicine
Associate Vice President for Medical Affairs, UW