

UWP CORRECTIVE ACTION: STANDARD OPERATING PROCEDURE
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Guidance to COMP.006 Corrective Actions
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Approved By: Timothy H. Dellit, MD, UWP President	
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Effective Date: July 16, 2021	
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Definitions

1. Corrective Action – Action to suspend or restrict an individual’s authority to code and/or bill for clinical services.
2. Board Review Committee – The UWP Corrective Action Board Review Committee comprised of at least three Trustees appointed by the UWP President.
3. Departmental Trustee – The UWP Trustee who is the University of Washington School of Medicine Department Chair, UWMC-Northwest Campus Medical Director, SCCA Medical Director or UW Neighborhood Medical Director.
4. Healthcare Professional – A physician or other healthcare professional who is qualified by education, training, and licensure/regulation to perform a professional service.
5. Individual – A UW Member physician, a Healthcare Professional who is not a physician, or UWP administrative staff person.
6. Summary Claim Hold – Immediate holding of claims imposed by the UWP Compliance Director while an investigation is underway.
7. UWP Billing Compliance Requirements – UWP billing compliance policies, rules, and regulations and state and federal laws governing the healthcare industry.
8. UWP Member – A physician or other qualified healthcare professional who has a practice agreement with UWP.

Procedure

1. Investigation –
 - a. The UWP Compliance Officer or designee will review all compliance concerns raised or identified and initiate an investigation designed to understand the clinical and/or administrative activities of Individuals.

2. Corrective Action –

- a. If, after investigation, a determination is made that there is no violation of the UWP Billing Compliance Requirements, the UWP Compliance Officer will provide notice that the matter is closed with no findings to all of those who received the initial notice.
- b. If, after investigation, a determination is made that there is a violation of the UWP Billing Compliance Requirements, the UWP Compliance Officer may impose Corrective Action. When any Corrective Action involves a UWP Member, the UWP Compliance Officer will notify the UWP President and Executive Director and will consult with the Departmental Trustee in the development and implementation of the Corrective Action. When the Corrective Action involves a Healthcare Professional who is not a UWP Member, the UWP Compliance Officer will notify that Individual's employer. If the Corrective Action involves a UWP administrative staff member, the UWP Compliance Officer will notify and work with that Individual's Manager or Director to determine the appropriate Corrective Action consistent with UWP personnel policies.
- c. In addition to the Corrective Action to suspend or limit an Individual's billing authority and/or activities, the UWP Compliance Officer may require that the Individual participate in additional compliance training and education in.

3. Summary Claim Hold –

- a. The UWP Compliance Officer may impose Summary Claim Hold with regard to any UWP Member or Healthcare Professional who is not a UWP member at any point during the investigation, if necessary, to avoid continuing violations of UWP Billing Compliance Requirements during the investigation.
- b. If Summary Claim Hold is imposed, the UWP Compliance Officer will provide notice to the UWP Compliance Committee, the UWP Executive Director, the UWP President, and the UWP Member or Healthcare Professional who is the subject of the Summary Claim Hold. If the Individual is a UWP Member, the UWP Compliance Officer will also provide notice to the Departmental Trustee. If the Individual is not a UWP member, the Director of Compliance will provide notice to the Individual's employer.
- c. Summary Claim Hold may be imposed until the earliest of either:
 - the conclusion of the investigation and review period (if applicable) that results in no need for Corrective Action; or
 - the UWP Compliance Officer determines that there is no longer a risk of continuing violations.
- d. If the UWP Compliance Officer removes a Summary Claim Hold before the end of the investigation, the UWP Compliance Officer is not prohibited from imposing Corrective Action based upon additional information during the investigation or findings at the conclusion of the investigation.

4. Notice of Corrective Action to a UWP Member –

- a. If Corrective Action is imposed against a UWP Member, the UWP Compliance Officer or designee will provide the UWP Member with the following notice:
 - A summary description of the conduct giving rise to the Corrective Action;
 - The billing requirement or standard violated;
 - The date that the Corrective Action is effective;
 - A description of how the UWP Member may request review of the Corrective Action by the Board Review Committee; and

- The potential sanctions that may be applied if the UWP Member fails to comply with UWP Billing Compliance Requirements in the future.
- b. The Corrective Action will be effective on the date established by the UWP Compliance Officer and will be effective throughout any review period and also for a period of time necessary to assure that the UWP Billing Compliance Requirements are met. Upon satisfaction that these are met, the Corrective Action may be removed by the UWP Compliance Officer.
 - c. If the UWP Compliance Officer determines that a Summary Claim Hold is necessary, the UWP Compliance Officer will provide the same notice of the action, but also will provide notice of the time period during which the Summary Claim Hold will be effective. There is no separate right to review the Summary Claim Hold. Rather, the Summary Claim Hold is reviewed as part of the review process at the conclusion of the investigation.
5. Review of Corrective Action Involving a UWP Member –
- a. When the UWP Compliance Officer imposes a Corrective Action at the conclusion of an investigation, the UWP Member may request that the action be reviewed by the Board Review Committee.
 - b. The UWP Member must submit a written request for review within 15 business days of the date on the notice of the Corrective Action. Requests for review, and all accompanying information, are submitted to the UWP President. The UWP President will appoint a Board Review Committee to consider the request for review. A UWP Member may request an in-person meeting with the Board Review Committee. The UWP Member has no right to legal counsel at such a meeting.
 - c. Following its review of the circumstances, the Corrective Action and the statement by the UWP Member, the Board Review Committee will provide written notice of its determination no more than 15 business days after the date of its meeting with the UWP Member and his or her Departmental Trustee. The decision of the Board Review Committee is final.
 - d. Following its review, if the Board Review Committee determines that Corrective Action is not necessary to assure compliance with the UWP Billing Compliance Requirements, UWP will bill for any services held during a suspension of billing authority. To the extent applicable, the UWP Member will be eligible to participate in his or her department's income distribution plan incentive if the Corrective Action is lifted by the Board Review Committee.
6. Review of Corrective Action Involving a Healthcare Professional who is not a UWP Member –
- a. The process for investigation and Corrective Action, including any rights to review available to a UWP Member, does not apply to Healthcare Professionals who are not UWP members but who bill under a contractual reassignment to UWP pursuant to a contract between the Healthcare Professional's employer and UWP. The UWP Compliance Officer has the authority to investigate and impose Corrective Action on these individuals. The UWP Compliance Officer and the UWP Executive Director will provide information to the Individual's employer to address the concern.
 - b. Corrective Action for a Healthcare Professional who is not a UWP Member may include termination of such Individual's participation in a contractual reassignment with UWP.
7. Review of Corrective Action Involving a UWP Administrative Staff –
- The UWP Compliance Officer may recommend Corrective Action against any UWP administrative staff member who violates UWP policies and procedures. In such cases, the UWP Compliance Officer will work with the Individual's Manager or Director to make such determination consistent with UWP personnel policies.

8. Relationships with Outside Entities or Individuals –

When the UWP Compliance Officer believes that a UWP administrative contract with an outside entity or individual (e.g., vendor, independent contractor, facility, group practice, consultant, etc.) raises compliance concerns, the UWP Compliance Officer may work with the Executive Director to initiate:

- restructuring to bring the relationship into compliance; or
- termination of the contract or arrangement.

9. Additional Sanctions –

Individuals should be aware that any action that violates a state or federal law governing the healthcare industry may result in criminal prosecution, significant fines to the individual, imprisonment, and/or exclusion of the individual from participation in federally sponsored programs (e.g., Medicare).