

2021 Health Ethics Trust Certification Intensive Course

**Implementing a Healthcare System Compliance Program:
Service Line Compliance Plans and Compliance Liaisons**

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In Other Words, Doing More With Less



The Challenge

- Regional healthcare delivery system
- Over 10,000 employees
- Nine acute care hospitals, plus a behavioral health facility
- Large physician practice with multiple locations
- Ancillary services
- 1500 affiliated physicians

Single small corporate compliance office

June 2020 USDOJ Standards on Evaluation of Corporate Compliance Programs

Three “fundamental” prosecutorial questions for providers:

1. Is the compliance program well-designed?
2. Is the program adequately resourced and empowered to function effectively?
3. Does the compliance program work in practice?

One Corporate Compliance Office's Solution

Cross-system
service
line/subject
matter
compliance teams



Designated
on-site
compliance
“liaisons”



Mandatory annual
compliance
“refresher” training
for all employees
and employee/
practitioner
compliance
certifications

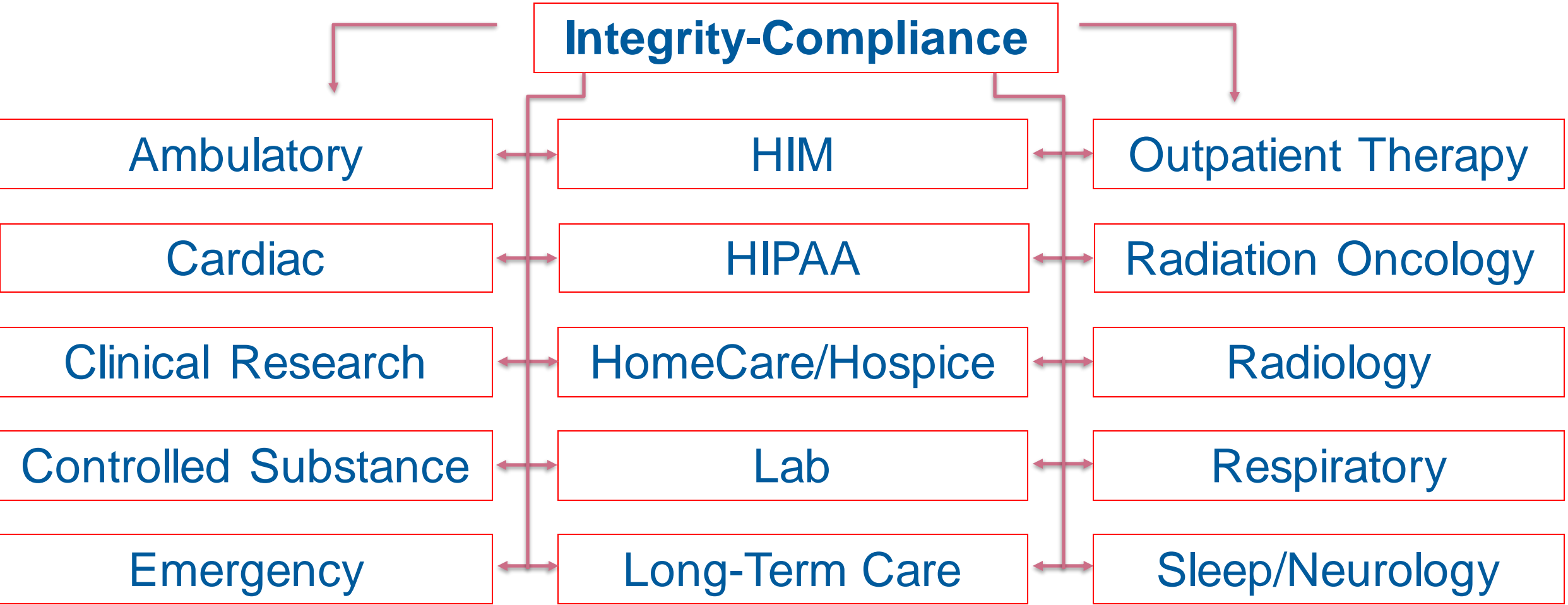
TEAMWORK
MAKES THE
DREAM WORK



The Compliance Program Structure

- Single overarching board-approved compliance plan describing:
 - Structure
 - Reporting relationships
 - Training and education
 - Policies
 - Code of Conduct
 - Hotline reporting
 - Audits
 - Exclusions checks
- Includes CCO charter and description of executive oversight responsibility
- “Service line” compliance teams addressed in overall corporate compliance plan

Service Line Compliance Teams




Service Line Compliance Teams: Composition

- Representatives from same departments across the system
- Corporate support and representation:
 - Compliance Office
 - Internal Audit
 - Chargemaster/Coding
 - Revenue Integrity
 - IT
 - Senior leader

Service Line Compliance Teams

- Teams meet regularly (quarterly/monthly) and address both operational and compliance issues
- Multi-facility representation for departments (helps “systemize”)
- Department-level monitoring
- Training
- Chair appointed by Chief Compliance Officer
- Board-approved written “mini”-compliance plans addressing many of same topics as corporate plan; routinely reviewed

Service Line Compliance Plans



**CATH LAB AND CARDIODIAGNOSTICS
COMPLIANCE PLAN**

Table of Contents

1.0 Introduction

- Standards of Conduct
- Mission Statement
- Desired Behaviors
- Vision Statement
- Values Statement
- Purpose of Document
- Risk Areas

2.0 General Orientation and Training

- Purpose
- Compliance Training
- Standard Education Requirements

Example of Board-Approved Cardiac Compliance Plan:

- Addresses risk areas specific to service line (e.g., explanted devices)
- Department-specific training
- General compliance guidelines
- Compliance-related policies
- Monitoring and auditing

Regularly Scheduled Meetings Set by Corporate Compliance Office

<u>Compliance Team</u>	<u>Chair</u>	<u>IC Leader</u>	<u>Duration</u>	<u>Recurring Time</u>	<u>Frequency</u>	<u>2021 Meeting Dates</u>
Cardiac Compliance	[REDACTED]	[REDACTED]	1.5 hr	1:30-3p	Every 2 months	[REDACTED]
Clinical Research	[REDACTED]	[REDACTED]	1.5 hr	9-10:30am	Every 2 months	[REDACTED]
CMG	[REDACTED]	[REDACTED]	1.5 hr	10-11:30am	Quarterly (1st month)	[REDACTED]
Drug Analysis Team	[REDACTED]	[REDACTED]	1.0 hr	1-2P	Monthly	[REDACTED]
Drug Diversion Oversight					Quarterly (1st month)	[REDACTED]
ED Compliance	[REDACTED]	[REDACTED]	2.0 hr	1-3p	Monthly	[REDACTED]
HIM Coding and CDI	[REDACTED]	[REDACTED]	1.0 hr	2-3p	Every 2 months	[REDACTED]

Template Agenda

Tracks Subjects in Service Line Compliance Plan

Standing Agenda items:

1. Risk Areas
2. Education and Training
3. Policies and Procedures
4. Monitoring
5. Auditing
6. Compliance Plan
7. Recent Articles
8. Open discussion / additional topics



Compliance Team Meeting:			
Chair:		Date:	
Note Taker:		Location:	
Senior Leader:		Next Meeting:	

Invitees / Attendees:	Present?	Invitees / Attendees:	Present?	Invitees / Attendees:	Present?	Invitees / Attendees:	Present?

Topic	Discussion Leaders(s)	Time	Discussion / Decision Points	Action Points
Approval of Minutes				
Standing Agenda Items				
1. Risk Areas. New risk areas/challenges identified since last meeting (what's different/new?)				
2. Education and Training.				
a. New charging/coding guidance in area (Revenue Charge Process)				
a. Opportunities from regulatory clarifications/changes related to performance of procedures. (Revenue				

PRIVILEGED AND CONFIDENTIAL
Tenn. Code Ann. §§ 68-11-272 and 63-1-150



Examples of Recent Discussion Items

- State surveyor items of interest
- New information blocking policy
- Elder Justice Act
- Blood bank transfusion follow up
- Safety devices
- Pilot programs
- CMS 3-day window
- Supply chain updates
- Upcoming conferences
- Articles of interest (usually compliance-focused)

Why Service Line Compliance Teams?

- Compliance driven by people working front line (they know problems and opportunities for improvement in their area)
- Creates compliance responsibilities and awareness in the field
- Pooled resources: Each compliance team is multi-facility, an opportunity to share concerns and resolve problems to become a stronger, more competent system
- Corporate compliance office gains insight on training needs and helps problem-solve; can access corporate support and resources
- Doing more with less

Annual Proof of Plan



Integrity – Compliance Annual Report Executive Summary


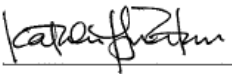
2019

(September 10, 2020)

Compliance Program Structure (Liaisons)

- Business Unit Compliance Liaisons
 - On-site compliance point of contact operating under a charter
 - Qualities: management level, good working relationship with organization's management, recognized integrity
 - Facilitates identification, investigation and resolution of compliance matters at location
 - Receive regular training from corporate compliance office with expectation will attend training and that training will be brought back and used at facility

Charter

	SUBJECT: Integrity-Compliance Liaison Function Charter
	PAGE 1 OF 2
Approved By: Integrity-Compliance Oversight Committee, 04/98, 05/99, 8/19/04	Generated By: Chief Compliance Officer
Approved By: Board of Directors 9/15/04	Effective Date: 2/6/98
Approved By: Liaisons Committee 8/5/04, 7/29/19	Revised Date: 03/26/98, 01/11/99, 03/24/99, 05/04/99, 9/15/04; 1/27/20
Final Approval:  Date: 1/27/20	Review Date: 03/26/98, 01/11/99, 03/24/99, 05/04/99, 9/15/04; 1/27/20

The purpose of the business units' liaison function is to serve as an advocate of the Covenant Health Integrity-Compliance Program in each business unit or region as well as serving as a communication link between the Covenant Health Integrity-Compliance Program and the business unit.


The Chief Compliance Officer approves the designation of the liaison position upon the nomination of the business unit's Chief Executive or appropriate senior manager.

The liaison is not necessarily a new position, but rather an additional responsibility of one or more management-level employees having the appropriate skills, abilities, and an interest in assuming these additional responsibilities. The criteria for the liaison function include the following:

- Person of recognized integrity who has the trust and respect of business unit management and employees.
- Willingness and ability to effectively carry out and implement the Covenant Health Integrity-Compliance Program in the location served.
- Working knowledge of relevant compliance risk areas and the ability to work effectively across the disciplines within the Covenant Health organization.
- Willingness and ability to act in the interests of the Covenant Health Integrity-Compliance Program even if such action conflicts with business unit goals and leadership desires.

RESPONSIBILITIES

- Ensure the policies of Covenant Health Integrity-Compliance Program are carried out within the business unit.
- Facilitate appropriate training and education of staff by working with the Chief Compliance Officer and existing resources including Human Resources, Internal Audit, General Counsel, and others as identified and needed.
- Assure documentation of compliance-related training and education provided to employees, contractors, and agents.

	SUBJECT: Integrity-Compliance Liaison Function Charter
	PAGE 2 OF 2

- Be point of contact within the business unit to be aware of and where needed assist the Integrity-Compliance Office and other investigative resources with specific investigations of allegedly inappropriate activities within the business unit.
- Work with General Counsel, Integrity-Compliance, and Internal Audit to keep those departments apprised of compliance issues and needs.

REQUIREMENTS

- Knowledge of the organization being served.
- Independence to carry out responsibilities of the Integrity-Compliance liaison position.
- Good working relationship with organization's management.
- Minimum of five years in a management role (preferred).
- Prior experience in leading investigations (preferred).
- Background in audit, legal, and/or compliance (preferred).

NEAR TERM ACTIVITIES

- Work with the Chief Compliance Officer as needed in developing the annual system Integrity-Compliance Plan.
- Coordinate with the field organization to assure training is provided to all existing staff regarding the Covenant Health Integrity-Compliance Program.
- Work within own organization and Human Resources to ensure coverage of Covenant Health Integrity-Compliance Program materials during new employee orientation.
- Produce and secure active support of service area management at all levels to the Covenant Health Integrity-Compliance Program.

TERMS OF SERVICE

The length of time served in the capacity of Liaison depends on one or more of the following:

- The Business Unit Chief Executive or other senior leader determines it necessary to make a change in the appointment.
- The Chief Compliance Officer requests removal of a current Liaison and appointment of another representative.

Liaison Training

“Another hallmark of a well-designed compliance program is appropriately tailored training and communications.”

**June 2020 USDOJ Standards on Evaluation of
Corporate Compliance Programs**

Agenda Items from April 2021 Liaison Meeting

- Code of Conduct: Duty to Report Compliance Concerns
- EMTALA Primer (including discussion of EMTALA & COVID)
- System Drug Diversion Initiative
- New Information Blocking Rule
- Refresher on System Camera/Photo Policy
- HIPAA Right of Access Initiative
- Telehealth
- Fraud and Abuse: Speaker Programs

Briefly, Annual Training and Certifications

- Annual updates or compliance "refresher training" conducted for all employees
- All executive, management/supervisory employees and employed health care professionals electronically attest bi-annually to knowledge of compliance with laws, rules, regulations, contract terms, policies and standards applying to Covenant Health and/or its various business entities, as well as provide information on any integrity issues of concern

Doing More With Less



Q & A

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