

SECTION: COMPLIANCE	Approved: 1/13/99	Effective Date: 01/01/2001	Revised: 01/9/2012
SUBJECT: CORRECTIVE ACTION PLAN	Revises Policy Revised: 04/12/2001		
POLICY: Corrective Action for Audit Findings			
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I. PURPOSE

To establish an effective means of assuring compliance with Creighton University's Compliance Plan for Health Sciences Billing and Patient Services (the "Compliance Plan") by all Creighton employees (faculty, residents and staff) subject to the Compliance Plan as it pertains to billing documentation and coding requirements. To further assure compliance with federal and state coding and billing requirements as well as third-party payer requirements for coding and billing for health care services provided by Creighton providers.

II. POLICY

Creighton providers and staff are expected to strive for one hundred percent (100%) compliance with the billing documentation and coding requirements as required by federal and state laws and regulations, and private third party payer agreements to avoid any over-billings or under-billings.

III. SCOPE

This policy shall apply to all Creighton employees (faculty, residents and staff), within each clinical department of the School of Medicine who are involved in the billing process.

IV. PROCEDURE

A. Audits. The Physician Coding Audit Unit of Creighton Medical Associates ("CMA Audit") will conduct audits of physician and nonphysician practitioner documentation and coding pursuant to the Department Audit Guidelines and Billing Audit Handbook.

Assigning Audit Finding Points. CMA Audit personnel will determine audit findings and assign points in accordance with the Guidelines and Handbook.

B. **Provider Corrective Action Plan**

1. Level One - Creighton physicians and nonphysician practitioners who have points assessed for findings during an audit will be subject to the following corrective action:

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POINTS	CORRECTIVE ACTION	RESPONSIBLE PARTY
1-6	a. Notify provider of any deficiencies noted	a. CMA Audi and Coding Manager
7-12	a. Written notice to provider of deficiencies noted b. Provide training on noted deficiencies within a reasonable time	a. CMA Audit and Coding Manager b. CMA Audit and Coding Manager
13-18	a. Written notice to provider of deficiencies noted, copy to Compliance Auditor b. Provide training on noted deficiencies within thirty (30) days. (May be extended at CMA Audit's discretion) c. If training not completed within the allotted time period, refer to Billing Compliance Committee for further action d. Prospective audit of an audit block (10 encounters) within sixty (60) days from training with written report to Compliance Auditor. Continue audit block (10 encounters) audit until provider receives less than 13 points, with update written reports to Compliance Auditor until provider receives less than 13 points.	a. CMA Audit and Coding Manager b. CMA Audit and Coding Manager c. CMA Audit and Billing Compliance Committee d. CMA Audit and Coding Manager
19 or more	a. Written notice to provider of deficiencies noted, copy to Compliance Auditor b. Provide training on noted deficiencies within thirty (30) days.	a. CMA Audit b. CMA Audit and Coding Manager

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	c. If training not completed within thirty (30) days refer to Billing Compliance Committee for further action.	c. CMA Audit and Billing Compliance Committee
	d. Prospective audit of an audit block (10 encounters) within thirty (30) days from training with written report to Compliance Auditor. Continue audit block audits until provider receives less than 13 points, with written update reports to Compliance Auditor.	d. CMA Audit and Coding Manager

2. Level Two. Two audits in a row, including corrective action audits under Level 1, resulting in either: (a) 19 or more points for all documentation/coding errors or (b) finding the same noted deficiencies for a specific documentation/coding error resulting in 13 or more points will result in the following corrective action.

POINTS	CORRECTIVE ACTION	RESPONSIBLE PARTY
19 + OR 13 + (same noted errors)	a. Written notice to provider of deficiencies noted, copy to Compliance Auditor	a. CMA Audit and Coding Manager
	b. Provide training on noted deficiencies within thirty (30) days.	b. CMA Audit and Coding Manager
	c. If training not completed within thirty (30) days, then refer to Billing Compliance Committee for further action.	c. CMA Audit and Billing Compliance Committee
	d. 100% concurrent billing review focused on the compliance deficiencies until billings reflect 80% compliance for the area(s) of non-compliance. If billing audits do not reflect 80% compliance within sixty (60) days, then proceed to Level 3 - Corrective Action Plan and notify the	d. CMA Audit and Coding Manager

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	Compliance Director. If 80% compliance is reached proceed to item "e" below.	
e.	Audit an audit block (10 encounters) within sixty (60) days after 100% concurrent billing review is halted, with written update reports to Compliance Director	e. CMA Audit and Coding Manager

3. Level Three. Either: (a) three audits in a row, including corrective action audits, resulting in 19 or more points or (b) failure to meet the compliance standards under Level 2, will result in the following corrective action.

POINTS	CORRECTIVE ACTION PLAN	RESPONSIBLE PARTY
19 or more points after three audits in a row or failure to meet level 2 standards	<p>a. Written notification to physician of compliance deficiencies, copy to Compliance Director</p> <p>b. Mandatory intensive re-training within fifteen (15) business days, unless extended by the Compliance Director.</p> <p>c. 100% concurrent billing review of the area(s) of compliance deficiency until billings reflect 90% compliance for each area of non-compliance. If 80% compliance is not reached within sixty (60) days written notice to Compliance Director who shall notify Billing Compliance Committee for further action, to include, but not limited to, suspension of billing privileges until satisfactory progress is achieved, referral to the Dean for termination of faculty appointment or other corrective action to achieve</p>	<p>a. CMA Audit and Coding Manager</p> <p>b. CMA Audit, Coding Manager and Compliance Officer</p> <p>c. CMA Audit, Coding Manager, Compliance Director, Billing Compliance Committee; and Dean</p>

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	compliance.	
	d. Audit an audit block (10 encounters) within thirty (30) days after 100% concurrent billing review is halted, with written update reports to Compliance Director	d. CMA Audit and Coding Manager

4. Clinical Laboratory Billings. CMA Audit will audit clinical laboratory services on a quarterly basis. The Compliance Director shall be notified, in writing, of any unusual areas of non-compliance and corrective action proposed and/or taken to correct the problem.
 5. Refunds of Identified Overpayments. CMA shall take appropriate action to refund, as soon as possible but in all cases no more than 60 days after identification, any over-payments identified during an audit.
 6. Provider Disagreement with Level Three Corrective Action. A Creighton provider who disagrees with the corrective action taken or proposed against him/her under Level 3 may submit a written request for review to the Compliance Director within five business (5) days of imposition of the corrective action. The Compliance Director, within ten business (10) days, shall review the matter and issue a written determination, which shall be final.
- C. Creighton Resident Non-Compliance Corrective Action Plan.**
Deficiency findings due to a Creighton resident's non-compliance resulting in twelve (12) or more points during an audit period of any one or more physicians shall be reported to the appropriate Department and GME program. It shall be the responsibility of the Department to provide appropriate training to the resident regarding any noted deficiencies totaling twelve (12) or more points.
- D. Non-Provider Employee Non-Compliance Corrective Action Plan.**
Deficiency findings due to a non-provider employee's non-compliance of more than six (6) points during an audit period shall be reported to the Department and may result in corrective action under the University's

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progressive discipline process (which should focus on education/training) for continued findings of non-compliance in the same category.

- E. Suspected Fraudulent Behavior.** Fraudulent behavior or willful misconduct (e.g., falsifying documentation for billing purposes, etc.) will not be tolerated. CMA Audit and/or the Department shall immediately notify the Compliance Director in the event of any suspected fraudulent behavior uncovered on internal audit. Further investigation and corrective action resulting from any such report will be pursuant to the Compliance Plan.

V. ADMINISTRATION AND INTERPRETATIONS

Questions regarding this policy may be addressed to the Compliance Director, the Compliance Auditor, the CMA Director of Coding or the Manager of CMA Physician Coding Audits..

VI. AMENDMENTS OR TERMINATION OF THIS POLICY

This policy may be amended or terminated at any time.