



bravo HEALTH
live life well.

Compliance Program
Training for First Tier,
Downstream and Related Entities

Compliance

- Bravo Health Plan is a Medicare Advantage Organization (MAO) Health Plan that has a contract with the Federal Government.
- All MAOs are required to have a compliance program.
- An effective Compliance Program requires a commitment to:
 - Compliance, Integrity, Ethics
- An effective Compliance Program requires commitment from:
 - The Company, Each Employee, Each Subcontractor



Compliance Training Objectives

- Understand the purpose of an effective Compliance Program.
- Learn the seven required elements of a Medicare Compliance Program
- Introduce you to the resources available to you if you encounter an incident of fraud, waste or abuse.
- This training will not review all of the marketing and selling guidelines as they are covered in the annual AHIP certification.



Corporate Compliance Plan: Goals and Design

- The goal of Bravo Health's Compliance Program is to assure compliance with applicable federal and state laws, including health care fraud, waste and abuse statutes and regulations, so that operations are unencumbered by regulatory restrictions, sanction or fines.
- The Compliance Program is designed to prevent violations of federal and state laws governing Bravo Health's lines of business, as well as health care fraud and abuse laws. In the event such violations occur, the Compliance Program will promote early and accurate detection, prompt resolution and, when appropriate, disclosure to governmental authorities.
- The Compliance Program establishes a framework for compliance with applicable laws and regulations. The Compliance Program is designed to meet the following requirements: 2010 OIG Work Plan; Federal Sentencing Guidelines; HHS/CMS Contract Requirements; Federal and State law; and CMS Medicare Managed Care Manuals & Guidelines.



Culture of Compliance

- Bravo Health expects all employees and contracted entities to act in an ethical and compliant manner.
- All employees are responsible for complying with the Bravo Health Compliance Program and the Standards of Business Conduct.
- Employees and contractors who do not comply with the Compliance Program will face oral or written warnings or reprimands, suspensions, terminations, and may face financial penalties.
- Employees, contractors, and other parties are encouraged to report violations of law and policy, without fear of retribution, to Bravo Health's Compliance Department by calling the Compliance Hotline at **1-888-810-0025** or by e-mailing **compliance@bravohealth.com**. Reports to the Compliance Hotline can be made anonymously.



Seven Required Elements of a Compliance Program

Every effective compliance program must begin with a formal commitment to seven key elements. These seven elements are set by the federal government for contractors of the federal government to follow.

1. Written Policies, Procedures and Standards of Conduct
2. Compliance Officer and Compliance Committee
3. Effective Training and Education
4. Effective Lines of Communication
5. Enforcement of Standards
6. Effective Internal Monitoring and Auditing
7. Prompt Response to Detected Offenses



Written Policies, Procedures and Standards of Conduct – Requirement

An organization must have written policies, procedures and standards of conduct articulating the organization's commitment to comply with all applicable Federal and State standards which must include measures to detect, correct and prevent fraud, waste, and abuse.



Written Policies, Procedures and Standards of Conduct at Bravo Health

- The Compliance Department at Bravo Health has developed a series of policies and procedures that outline the organization's commitment to complying with standards and regulations set by the federal government (i.e. the Centers for Medicare and Medicaid Services – CMS), state departments of insurance, etc.
- Additionally, business associate agreements, contracts and other agreements between Bravo Health and entities to which Bravo Health delegates its business functions contain language emphasizing compliance-related expectations and/or stipulations.



Compliance Officer and Compliance Committee – Requirement

Organizations must designate a Compliance Officer and Compliance Committee that are accountable to senior management.



Compliance Officer and Compliance Committee at Bravo Health

- **Ena Arthur Pierce**, Senior Vice President, serves as the **Chief Compliance Officer** at Bravo Health. The Compliance Officer oversees the Corporate Compliance Program and acts as the direct contact between CMS and Bravo Health.
- Additionally, the Compliance Officer facilitates monthly meetings of the Compliance Committee, which is comprised of several key upper management personnel. The Compliance Committee meets at least monthly to discuss current and/or potential compliance-related issues, including audits, fraud, waste and abuse inquiries, and new and/or revised regulatory guidance.



Effective Training and Education – Requirement

Organizations must have effective training and education between the Compliance Officer and the organizations employees, managers and directors, and the organizations first tier, downstream, and related entities.



Effective Training and Education at Bravo Health

- All employees of Bravo Health are required to complete compliance training upon initial hiring and annually thereafter.
- Training is also disseminated to contractors, first tier, downstream and related entities to which Bravo Health delegates its business functions.



Effective Lines of Communication – Requirement

Organizations must have effective lines of communication between the Compliance Officer, members of the Compliance Committee, the organizations employees, managers and directors, and the organizations first tier, downstream, and related entities.



Effective Lines of Communication at Bravo Health

- Employees, contractors, and other parties are encouraged to report violations of law and policy, without fear of retribution, to Bravo Health's Compliance Department.

Compliance Hotline 1-888-810-0025

E-mail compliance@bravohealth.com

Compliance Dept., 3601 O'Donnell St., Baltimore, MD 21224

- Reports to the Compliance Hotline can be made anonymously.



Enforcement of Standards – Requirement

Organizations must have enforcement of standards through well-publicized disciplinary guidelines.



Enforcement of Standards at Bravo Health

- Bravo Health expects all employees and contracted entities to act in an ethical and compliant manner.
- All employees are responsible for complying with the Bravo Health Compliance Program and the Standards of Business Conduct.
- Employees and contractors who do not comply with the Compliance Program will face oral or written warnings or reprimands, suspensions, terminations, and may face financial penalties.
- Corrective action for non-compliance will be initiated by the appropriate management personnel, who must notify the Human Resources Department in accordance with the standard disciplinary policies and procedures of Bravo Health.



Effective Internal Monitoring and Auditing – Requirement

Organizations must have procedures for effective internal monitoring and auditing.



Effective Internal Monitoring and Auditing at Bravo Health

- The Compliance department at Bravo Health is responsible for conducting internal audits, as well as audits of external (i.e. contracted) entities to which Bravo Health delegates its business functions to identify areas of risk and compliance with federal and state regulatory guidelines.



Prompt Response to Detected Offenses - Requirement

Organizations must have procedures for ensuring prompt responses to detected offenses and development of corrective action initiatives relating to the organization's contract as an organization.

If the organization discovers evidence of misconduct related to payment or delivery of items or services under the contract, it must conduct a timely, reasonable inquiry into that conduct. The organization must conduct appropriate corrective actions in response to the potential violation referenced.

The organization should have procedures to voluntarily self-report potential fraud or misconduct related to the Medicare Parts C and D program to CMS or its designee.



Prompt Response to Detected Offenses at Bravo Health

- The Compliance department at Bravo Health promptly logs all detected offenses and engages the appropriate personnel to investigate and rectify such offenses.
- Additionally, business associate agreements, contracts and other agreements between Bravo Health and entities to which Bravo Health delegates its business functions contain language emphasizing detection and reporting of compliance offenses.



Fraud, Waste, and Abuse Program

What is Fraud?

Medicare Fraud is defined as knowingly and willfully executing or attempting to execute, a scheme or artifice to defraud any Medicare benefit program or to obtain, by means of false or fraudulent pretenses, representations, or promises, any of the money or property owned by, or under the custody or control of, any health care benefit program.



Translation: Purposely telling false information.

Fraud, Waste, and Abuse Program

What Is Abuse?

Medicare Abuse is defined as: Abuse may, directly or indirectly, result in unnecessary costs to the Medicare program, improper payment for services, which fail to meet professionally recognized standards of care or that are medically unnecessary.

Translation: Sending in claims or bills for services that should not be paid by Medicare.



How Do We Stay on Top of Our Efforts?

An effective Compliance Program will find and correct problems by:

- Reviewing compliant and non-compliant activity
- Reporting non-compliant activity to CMS
- CMS Surveys and Medicare Complaint Tracking Module
- Complaints to regulators
- Appeals



How Do We Stay on Top of Our Efforts?

Top Medicare Advantage Compliance Issues

- Sales brokers and agents using inappropriate actions or statements
- Non-approved marketing materials
- Plan self-reporting of compliance issues
- Member's Protected Health Information (PHI) being released



Congratulations!

You have completed the Compliance Training for First Tier, Downstream, and Related Entities.

