

Health Plan of San Mateo Policy & Procedure Manual

Procedure: CP.004		Title: Compliance Hotline	Original Effective Date: 05/09/2008
Revision: 9	Last Reviewed /Revised: 12/01/2017	Dept: Compliance	Page 1 of 4

Approval By: Compliance Committee		Date: 12/15/2017
Annual Review Date: 01/01/2019		
Authored by: Chief Compliance Officer		
Pursuant To: <input checked="" type="checkbox"/> DHCS Contract Provision Exhibit E, Attachment 2, Provision 26(B) [DRAFT Mega Rule Amendment] <input type="checkbox"/> Health and Safety (H&S) Code <input checked="" type="checkbox"/> CFR 42 CFR 438.608(a); 42 CFR 422.503(b)(4)(vi)(B); 42 CFR 422.504(b)(4)(vi)(B) <input type="checkbox"/> APL / DPL		<input type="checkbox"/> W & I Code <input type="checkbox"/> California Title # <input type="checkbox"/> Organization Need <input checked="" type="checkbox"/> Other Medicare Managed Care Guide Chapter 21, Sections 50.4.2; Medicare Prescription Drug Benefit Manual Chapter 9, Section 50.4.2
Departments Impacted: All		

Policy:

HPSM has a 24 hour Compliance Hotline to provide employees, contractors and other individuals with a means to make anonymous telephone calls to report compliance concerns. This policy documents the process from when a call is made to the compliance hotline to when it is resolved.

CMS guidelines for the establishment of an effective compliance program requires a confidential or anonymous reporting mechanism for individuals to report compliance issues in a variety of methods, including a method for anonymous and confidential good faith reporting.

Scope

This procedure applies to (check all that apply):

<input checked="" type="checkbox"/> All LOBs/Entire Organization	<input type="checkbox"/> CCS	<input type="checkbox"/> Medi-Cal Expansion
	<input type="checkbox"/> Healthy Kids	<input type="checkbox"/> Medi-Cal Adults
<input type="checkbox"/> ACE	<input type="checkbox"/> HealthWorx	<input type="checkbox"/> Medi-Cal Children
<input type="checkbox"/> CA-CMC / MMP	<input type="checkbox"/> Medi-Cal	<input type="checkbox"/> Other (specify)

Responsibility and Authority

- The Chief Compliance Officer is responsible for implementing a Compliance Program to ensure that HPSM services are provided in accordance with all applicable federal, state, and county laws and regulations.
- The Compliance Department is responsible for responding to issues received via the Compliance Hotline as outlined in this policy.

Definitions

None

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Procedure

- 1.0 Anyone with knowledge of a potential violation of law, regulation, or HPSM's Code of Conduct has an affirmative duty to report that information to management or the Chief Compliance Office. An affirmative duty means that employees are required to report any suspected or known instances of fraud, waste, or abuse, even if they would prefer not to make the report. Anonymous or confidential submissions of concerns can be made directly to the compliance hotline.
- 2.0 The hotline is available 24 hours a day, 365 days a year. The hotline is listed on HPSM's external and internal websites, in member and provider communications and throughout HPSM's work site.
- 3.0 All calls to the hotline will be documented, including the nature of the concern, the date and time reported, and the department affected.
- 4.0 In consultation with HPSM's hotline operator, standards have been established for answering the compliance line to ensure confidentiality of the caller, consistency of handling calls, and accurate communication of hotline information to HPSM.
 - 4.1 Any individual who wishes to report a concern to the Compliance Hotline should access the line by dialing 1-800-826-6762. Upon calling, the caller will hear a pre-recorded message to ensure that all callers receive a complete common message concerning the use of the service before speaking with an operator. The message includes assurances that the caller's location will not be traced and that there will be no retaliation for calling the hotline.
 - 4.2 At the end of the recorded message the hotline operator will come online and the caller will have the opportunity to express his or her concern in as much detail as possible. If for any reason the caller is unable to finish the call, he or she will be given a control number to assure anonymity and asked to call back to conclude the report.
- 5.0 When a new hotline report is submitted, the caller will be assigned a confidential report number and asked to contact the hotline in ten business days for any required follow-up. The Chief Compliance Officer will ensure that any required follow-up information is provided to the hotline in advance of the scheduled call-back date.
- 6.0 If the caller leaves his or her name and phone number he or she may be given a personal confidential call by the Chief Compliance Officer or designee to provide an update if appropriate or obtain additional information not provided to the hotline.
- 7.0 The details of a hotline call will be submitted by the hotline company to Chief Compliance Officer who will document the call and assign a case number to facilitate internal tracking. Any additional information received from the caller will be added to the record of the call.
- 8.0 If the concern needs to be referred to another department for follow-up and investigation, the details of the referral will be recorded and the Chief Compliance Officer or their designee will follow-up with that department until the concern is resolved.

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- 9.0 The services of legal counsel may be engaged if it appears that such engagement will facilitate independent conduct of the inquiry.
- 10.0 Reports that raise strictly human resources concerns will be referred to the Chief Human Resources Officer for appropriate action. The Chief Compliance Officer, or designee, will record in the Compliance Issue Tracking Log that the matter was referred to the Chief Human Resources Officer.
- 11.0 Calls in which the Chief Compliance Officer is implicated will be routed to the Chief Human Resources Office ONLY. If both the Chief Compliance Officer and Chief Human Resources Officer are implicated in a call, the report will be routed to the CEO.
- 12.0 Upon resolution of a case, all pertinent information is assembled in a Compliance Case File. The records of the investigation will be maintained for a minimum of ten years.
- 13.0 The Chief Compliance Officer will report to the Compliance Committee the results of investigations carried out as a result of calls to the compliance hotline at least quarterly.
- 14.0 Managers and supervisors should encourage staff to report compliance concerns by reviewing this policy at department meetings.
- 15.0 The hotline is not to be used for reports involving immediate danger to life, property, or the environment. Such concerns should be brought to the attention of one's immediate supervisor or appropriate staff member so that the concern can be immediately addressed.

Related Documentation

- CP.000 Compliance Program
- CP.003 Reporting Compliance Concerns
- CP.005 Non-Retaliation and Non-Intimidation
- CP.026 Code of Conduct

Attachments

- None

Log of Revisions	
Revision Number	Revision Date
1	06/19/2009
2	07/02/2010
3	08/05/2011
4	09/07/2012
5	09/30/2013
6	01/01/2015

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7	01/01/2016
8	11/18/2016
9	12/01/2017