



Administrative Policy

2018-02 Fraud, Waste and Abuse Prevention and Education in Healthcare

Title	Fraud, Waste And Abuse Prevention And Education In Healthcare
Policy Owner and Contact Information	Compliance Website: https://health.uconn.edu/healthcare-compliance/
Applies To	UConn Health employees and applicable contractors and agents of UConn Health
Campus Applicability	UConn Health Campus
Effective Date	7/9/2018

PURPOSE:

As required by the federal Deficit Reduction Act (“DRA”) and specific Connecticut legal requirements, all UConn Health employees, and applicable contractors and agents must receive detailed information regarding:

- UConn Health’s policies and procedures for detecting and preventing fraud, waste, and abuse; and
- Federal and state false claims laws and other state laws that pertain to civil or criminal penalties for making false claims and statements to the government, including the whistleblower protections under such laws

APPLIES TO:

Employees and applicable contractors

DEFINITIONS (IF APPLICABLE):

None

POLICY STATEMENT:

UConn Health is committed to detecting and preventing fraud, waste, and abuse. In furtherance of this commitment, UConn Health will maintain a robust and active compliance program that identifies, monitors, and manages these concerns through a multitude of institutional policies and procedures and federal/state laws. The compliance program will be overseen by a compliance officer who will be responsible for overseeing compliance activities. The program is dedicated to the training and education for employees regarding applicable laws, regulations and policies related to preventing and detecting fraud, waste and abuse. A confidential telephone reportline for employees and other individuals is available to report compliance concerns. Of note, all applicable contractors must abide by these compliance policies in their work for UConn Health. The following are essential to this comprehensive compliance program:

- A written code of conduct that establishes basic standards of workplace behavior, promotes adherence to all applicable laws, regulations and policies, and reflects the institution's commitment to the highest standards of integrity and ethical conduct and any disciplinary policies that impose consequences for code of conduct and other policy violations;
- A University policy on reporting suspected fraud and fiscal irregularities (see University policy [Prevention and Reporting of Fraud and Fiscal Irregularities](#));
- A written summary of the Federal False Claims Act, federal whistleblower protections and the federal administrative remedies for violations of the Federal False Claims Act (see Appendix A);
- A written summary of state civil and criminal penalties for false claims along with the whistleblower protections afforded under such laws (see Appendix A);
- Written policies and procedures for investigating known or suspected compliance concerns including allegations regarding fraud, waste or abuse; and
- Written policies and procedures prohibiting retaliation against individuals who, in good faith, participate in investigations or report alleged violations of applicable policies, laws, rules or regulations.

PROCEDURES/FORMS:

For reporting obligations, please see University policy - [Prevention and Reporting of Fraud and Fiscal Irregularities](#)

ATTACHMENTS:

Appendix A (Summary of Federal and Connecticut False Claims Laws and Other Connecticut Laws Related to Health Care Fraud). [Link to Appendix A.](#)

REFERENCES:

[University of Connecticut Code of Conduct](#)

University Policy: [Prevention and Reporting of Fraud and Fiscal Irregularities](#)

University Policy: [Non-retaliation](#)

UConn Health Policy # 2002-40: [Payment Error Protection-Medicare Reimbursement](#)

UConn Health Policy # 2003-40: [Non-Retaliation](#)

UConn Health Policy # 2006-03: [Billing for Professional Services](#)

UConn Health Policy # 2006-04: [Refiling of Claims](#)

UConn Health Policy # 2007-12: [Overpayments from Healthcare Insurance Programs – Management of Systemic and/or Substantial Overpayments](#)

31 U.S.C. §§ 3729, et. seq. (Federal False Claims Act)

31 U.S.C. §§ 3801, et. seq. (Federal Program Civil Remedies Act)

Connecticut General Statutes:

- §§ 4-274 et. seq.; (Connecticut False Claims Act)
- §§ 53a-290 et. seq. (Vendor fraud)
- §§ 53-440 et. seq. (Health insurance fraud)

- §§ 53a-118 et. seq. (Larceny)
- § 53a-155 (Tampering with or fabricating physical evidence)
- § 53a-157b (False statement intending to mislead public servant)
- § 17b-25a (Toll-free vendor fraud telephone hotline)
- § 17b-102 (Financial incentive for reporting vendor fraud)
- § 17b-99 (Vendor fraud penalties)
- § 4-61dd: Whistleblowing
- § 31-51m (Protection of employee who discloses employer's illegal activities or unethical practices)
- § 31-51q (Liability of employer for discipline of discharge of employee on account of employee's exercise of certain constitutional rights)

Connecticut Agency Regulations:

- §§ 17b-102-01 et. seq. (Financial incentive for reporting vendor fraud and requirements for payment for reporting vendor fraud)
- §§ 17-83k-1 et. seq. (Administrative sanctions)
- §§ 4-61dd-1 et seq. (Rules of practice for contested case proceedings under the Whistleblower Protection Act)

Connecticut Department of Social Services Medical Assistance Program Provider Bulletin 2007-41 (June, 2007).

ENFORCEMENT:

Violations of this policy or associated procedures may result in appropriate disciplinary measures in accordance with University By-Laws, General Rules of Conduct for All University Employees, applicable collective bargaining agreements, the University of Connecticut Student Code, other applicable University Policies, or as outlined in any procedures document related to this policy.

APPROVAL:

Andrew Agwunobi, UConn Health Chief Executive Officer (Signed)	8/02/18
Carolle Andrews, Policy Committee Co-Chair (Signed)	7/30/18
Kiki Nissen, Policy Committee Co-Chair (Signed)	7/31/18

POLICY HISTORY:

New Policy Approved: 7/9/18