

# Complete Healthcare Compliance Manual 2024

## Resource: Sample Board Report 2, Quarterly Report

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### Office of Corporate Compliance Draft Quarterly Report: X Quarter 2021

#### 2021 Completed Audits

Below is a listing of the audits that were completed by the Office of Corporate Compliance in the X Quarter of 2021.

The following slides provide a detail summary of the audit findings for each audit. Additional information or a copy of the final audit reports are available upon request.

#### 2021 Audits

Place of Service Errors in Ambulatory Surgery Units

Ambulatory Surgery Unit Coding/Billing

Physician Impact of Opting Out of Medicare

Ambulatory Surgery Unit Coding/Billing

Ambulatory Surgery Unit Coding/Billing

Ambulatory Surgery Unit Coding/Billing

Syncope Medicare Severity Diagnosis-Related Groups

Physician Review

Ambulatory Surgery Unit Coding/Billing

Radiology

Pulmonary Edema and Respiratory Failure Medicare Severity Diagnosis-Related Groups

Ambulatory Surgery Unit Coding/Billing

Ambulatory Surgery Unit Coding/Billing

## 2021 Final Compliance Data Mining Audits

Final Audit	Overpayments*	Findings	Corrective Action
XXXXXX	No Overpayments.	No material findings.	N/A
XXXXXXXX	1 Underpayment. ~(\$202.25)	1 or 25% of the cases reviewed were assigned the incorrect MS-DRG.  1 or 25% of the cases reviewed were assigned an incorrect ICD-9-CM code.	Appropriate staff has been educated and a refund has been processed.

## 2021 Final Compliance Facility Audits

Final Audit	Overpayments*	Findings	Corrective Action
XXXXXX	No Overpayments.	No material findings.	N/A

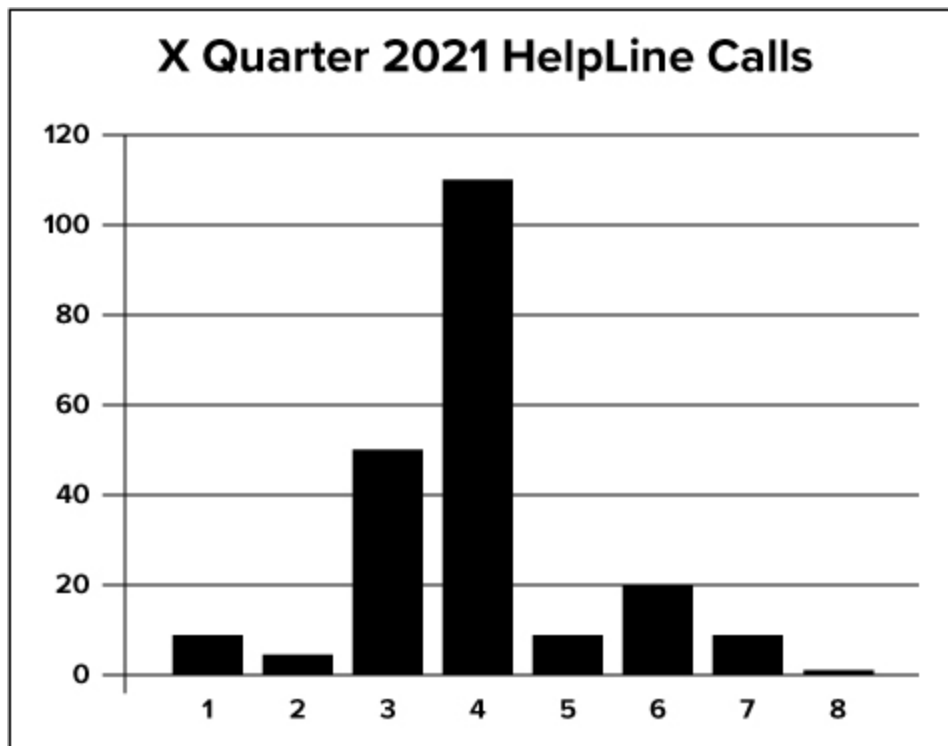
XXXXXXX	1 Underpayment.  ~(\$202.25)	1 or 25% of the cases reviewed were assigned the incorrect MS-DRG.	Appropriate staff has been educated and a refund has been processed.	
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## 2021 Final Compliance Professional Fee Audits

Final Audit	Overpayments*	Findings	Corrective Action
XXXXX	2 Overpayments.  ~\$200.00	E/M Levels  Missing Documentation	Appropriate staff has been educated and a refund has been processed.
XXXXX	No Overpayments.	No material findings.	N/A

Total Overpayments – This Quarter	~\$200.00
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## X Quarter 2021 Compliance HelpLine



Issue	Cases	% of Total
1. Coding, Billing & Contracts	5	1.2%
2. Conflicts of Interest	2	2.1%
3. HIPAA/Confidentiality	75	41.9%
4. Human Resources	113	36.1%
5. Other	10	5.4%
6. Patient Care/Quality	20	7.9%
7. Question/Violation of Policy	13	4.1%

8. Theft	0	1.2%
Total	239	

The Compliance HelpLine is an avenue by which individuals or interested parties may report any issue or question associated with any of the hospital's policies, conduct, practices or procedures believed by the employee to be a potential violation of criminal, civil or administrative law, or any unethical conduct. Inquiries can be made via the HelpLine 24 hours a day, seven days a week. Individuals are encouraged to report any problem or concern either anonymously or in confidence via the HelpLine as they deem appropriate.

To date, the number of internal and HelpLine cases received during X quarter of 2021, was **239**.

The grid describes the general categories of reports received during X quarter. The largest number of issues arose in the Human Resources category followed by HIPAA. The Human Resource calls are referred to that department for investigation.

The HIPAA calls resulted in 40 investigations that have taken place since XXXX 1st and approximately 100 interviews that were conducted related to inappropriate access to patient information. All identified issues were handled appropriately.

Any questions related to these issues should be directed to your site specific Compliance Director.

## X Quarter HIPAA Breaches

Below is a listing of the HIPAA Breaches that were reviewed by the Office of Corporate Compliance in X Quarter of 2021.

Allegation	Facility	Status
Misdirected fax.	XYZ	Investigated. Unauthorized disclosure and breach. Will notify HHS at year-end.
Employee accessed EMR of patient who is a relative without authorization.	XYZ	Investigated. Unauthorized access, unauthorized disclosure, and breach. Will notify HHS at year-end.

## X Quarter Completed HIPAA Initiatives

Initiative	Facility	Status
Breach detection software used to systematically identify users who are engaging in patient access patterns that are indicative of snooping, identity theft, or other risky behaviors.	XYZ	In progress.

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