

University of Texas Medical Branch	Effective Date:	Sept 06
Pulmonary Function Clinic	Revised Date:	Aug 22
Policy 05-05 Commitment to Compliance	Review Date:	Aug 23

## Laboratory Compliance Plan

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**Audience** All personnel in the Pulmonary Laboratories: Pulmonary Function Clinics.

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**Introductions** The Pulmonary Function Laboratory developed this compliance plan to be consistent with the Model Compliance Plan for Clinical Laboratories and the Compliance Program Guidance for Clinical Laboratories issued by the Office of Inspector General (OIG), the Department of Health and Human Services (HSS) as well as the UTMB Institutional Compliance Program.

UTMB is committed to conducting its business in an ethical and law-abiding fashion. UTMB is intolerant of fraud, abuse, waste and other violations of any applicable federal, state, or local laws and regulations. Responsibility and accountability for actual compliance with laws, regulations and policies rests with each individual employee. UTMB holds department chairs/heads or leaders of each operating unit accountable for ensuring that their subordinates are adequately trained and for detecting noncompliance with applicable policies and legal requirements when reasonable management efforts would have led to the discovery of problems or violations.

UTMB has developed a comprehensive compliance plan. The purpose of the plan is to promote compliance with all applicable legal and regulatory requirements, foster and help ensure ethical conduct, and provide training and guidance to all employees and faculty. The plan is designed to prevent accidental or intentional non-compliance, if it occurs; to appropriately discipline those involved in noncompliant behavior; and to prevent future noncompliance.

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**Oversight** The UTMB Institutional Compliance Committee oversees the PFT Laboratory Compliance Program. Refer IHOP Policy 3.01.09, Discipline and Dismissal for details on disciplinary actions.

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**Policy** Staff of the PFT Laboratory along with Pulmonary Medicine Faculty and Fellows shall comply with UTMB's Institutional Compliance Plan and are expected to comply with all applicable policies and procedures of the university and department.

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**Guidelines** The PFT Laboratory Compliance Program complies with national, federal, state, and local regulations and consists of the following elements:

- Written standards of conduct for employees.
- The development of written policies that promote the laboratory's commitment to compliance and that address specific areas of potential fraud, such as billing, marketing and claims processing.
- Providing effective education and training for all employees to insure effective communication of standards, policies and procedures.

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- Encouraging and maintaining open lines of communication for employees to report perceived misconduct or ask questions without fear of reprisal.
- The use of audits and/or other evaluation techniques to monitor compliance and ensure the requirements are met.
- The promotion of and adherence to compliance as an element of performance.
- The investigation and remediation of identified systemic and personnel problems.

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**References**   OIG Model Compliance Plan for Clinical Laboratories, 3/31/1997  
OIG Compliance Guidance for Clinical Laboratories, 8/24/1998  
UTMB Institutional Compliance Plan  
UTMB Standards for Conduct Guide.

**This form documents the approval and history of the policies and procedures for the Pulmonary Function Laboratory. The Medical Director signs all policies verifying initial approval. Annually thereafter, the Director and/or designee may approve reviews and revisions.**

<b>Date</b>	<b>Approved by:</b>	<b>Signature</b>
11/07	V. Cardenas, MD Medical Director Pulmonary Laboratory	
6/09	V. Cardenas, MD No changes to the policy	
7/10	V. Cardenas, MD No changes to the policy	
2/12	A. Duarte, MD Medical Director Pulmonary Laboratory No changes to the policy	
5/14	A. Duarte, MD Medical Director Pulmonary Laboratory No changes to the policy	
8/16	A. Duarte, MD Medical Director Pulmonary Laboratory No changes to the policy	
11/17	A. Duarte, MD Medical Director Pulmonary Laboratory No changes to the policy	
8/19	A. Duarte, MD Medical Director Pulmonary Laboratory No changes to the policy	
8/21	A. Duarte, MD Medical Director Pulmonary Laboratory	

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**8/22**            **No changes to the policy**  
**A. Duarte, MD**  
**Medical Director Pulmonary Laboratory**  
**Changes to the policy**

**8/23**            **A. Duarte, MD**  
**Medical Director Pulmonary Laboratory**  
**No changes to the policy**