Health Care Compliance Skills
Syllabus

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Hamline University School of Law
Spring Semester 2009

GENERAL COURSE INFORMATION

Course: Health Care Compliance Skills:
   Auditing, Investigating and Reporting
Credits: 3
Classroom: 240A
Days/Times: Tuesdays 4:00 – 6:50 p.m.
Professors: Keith Halleland – (O) 612.204.4105 (C) 612.423.4929
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Office Hours: By appointment of after class

COURSE DESCRIPTION AND OBJECTIVES

This will be a simulation-based skills course that provides students opportunities to perform
mock audits, complaint investigations, and self disclosures. The skills taught will include work
plan development, investigative techniques, interviewing methods, organization and review of
records during compliance reviews, gathering and presentation of evidence, and drafting of
project plans and self disclosure documents.

This course is designed to expose students to key legal and operational concepts in the health
care corporate compliance field. Students will use knowledge gained in prior mandatory
coursework and participate in simulated-based projects that will require them to perform audits,
investigations and reporting activities to ensure compliance with applicable federal and state
laws. Through reading derived from various sources: industry articles, regulations, specific
chapters of text books, government reports and materials created by content experts who will be
brought in to guest lecture, students will have the opportunity to explore not only the legal facet
of the compliance field but the operational reality of working as a compliance professional in the
health care industry.

TEXT AND READINGS

- Class Materials Provided by Instructor or Guest Lecturers
**TECHNOLOGY POLICY**

In order to facilitate an interactive class and small group discussions, there will be occasions when the class will be asked to close their computers and/or turn off technology they have been using. At other times, students may use laptops for note taking. If a student uses classroom time to read or send e-mail messages, visit web sites or engage in other online or technology based activities (including cellular telephones) that student will be asked to drop the course and will not receive academic credit for the class.

**COURSE EVALUATION**

There are three requirements for the Health Care Compliance Skills course:

1. **Class Participation:** This course is designed to be highly interactive. Students should come to class prepared to discuss the course material and actively participate in class discussions and activities. **Class participation will account for 20% of a student’s final grade.** “Participation” is based on attendance, preparedness and thoughtful classroom commentary.

2. **Skills Projects:** This course is designed to expose students to simulation based exercises in three areas; health care audits, internal compliance investigations and self-reporting compliance issues to government entities. **Active participation, presentation and completion of three skills projects will account for 60% of a student’s final grade.**

3. **Final Paper:** A final paper is required and will be due on the final exam date. **The paper will account for 20% of a student’s grade.**

**COURSE ATTENDANCE**

At the beginning of each class, we will distribute a class roster for you to sign. If you are absent for more than four classes, your absences will be treated as “excessive” in accordance with Hamline University Academic Rule 1-110 unless you have approval from me in advance.

**COURSE OUTLINE (14 CLASSES)**

**January 20, 2009 – Class One**

- Culture of Compliance and Ethics
  - Introductions
  - Syllabus
Development of Ethical Culture
- Compliance vs. Ethics
- Rules Based vs. Values Based Framework

Readings:

**January 27 – Class Two**

- Enforcement Trends
  - False Claims Act
  - Quality of Care
  - Non-Profits
  - Governance
  - Medical Device
- Compliance Structure Considerations
  - Best Practices
  - Best Fit
- Skill Set Considerations
  - Legal, Compliance, Audit, Clinical, Financial

Readings:

February 3 – Class Three

- Evolution of the Compliance Officer Role
  - Implementation of Compliance Program
  - Case Study
- Role of Health Care Lawyer in Compliance
- Liability of Compliance Officer – Emerging Theories

Readings:

- DoJ Complaint: U.S. vs. Sulzbach, (September 18, 2007).

February 10 – Class Four

- Internal Auditing Overview
  - Auditing vs. Monitoring
Readings:


**February 17 – Class Five**

- Internal Audit Case Assignment
- Lessons Learned from an Industry Expert

Readings:

- TBD

**February 24 – Class Six**

- Case Presentations

**March 3 – Class Seven**

- Identifying and Managing Key Stakeholders During a Crisis
  - Executives
  - Board Members
  - Patients/Consumer/The Public
  - Government Entities
  - Employees
• Case Study (Stolen Laptop)
• Compliance Industry Outside of Health Care
  o Society of Compliance and Ethics
  o Emerging Issues and Trends

Readings:
  - TBD

March 10 – Class Eight

• Internal Investigation Overview
  o What is an Internal Investigation
  o When Should an Internal Investigation Be Conducted
  o Risks of Not Conducting an Investigation
  o Attorney-Client Privilege/Work Product Considerations
  o Handling Employee Interviews
  o Benefits of a Thorough Investigation
  o What to do When the Government Knocks on Your Door

• Case Assignment

Readings:
March 17 – Class Nine

- Internal Investigation Assignment
- Lessons Learned from an Industry Expert

Readings:
- TBD

March 24 – Spring Break/NO CLASS

March 31 – Class Ten

- Class Presentations

April 7 – Class Eleven

- Self-Reporting/Voluntary Disclosure Overview
  - Provider Self-Disclosure Protocol
  - Voluntary Disclosure Submission
  - Self-Assessment Guidelines
  - OIG Verification
  - Payment Obligations
  - Potential Outcomes from Disclosure
- Case Assignment

Readings:
- April 24, 2006, OIG Open Letter.
- April 15, 2008, OIG Open Letter.
April 14 – Class Twelve

- Self-Reporting Case Assignment
- Lessons Learned from an Industry Expert

Readings:
- TBD

April 21 – Class Thirteen

- Case Presentations

April 28 – NO CLASS

May 5 – Class Fourteen

- Careers in Health Care Compliance
  - Government Attorney
  - In House Compliance Officer
  - Law Firm Attorney
- Careers in Compliance and Ethics Outside of Health Care
  - Retail Industry
  - Utilities and Energy
  - Manufacturing
- Wrap-Up and Final Assignment