

# Table of Contents

## PART I. GUIDES

### GUIDE G1. CHAPTERS OF GENERAL APPLICABILITY

- § G1:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G1:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G1:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G2. CHAPTERS FOR HOSPITALS

- § G2:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G2:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G2:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G3. CHAPTERS FOR NURSING HOMES

- § G3:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G3:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G3:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G4. CHAPTERS FOR PHYSICIANS

- § G4:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G4:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G4:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G5. CHAPTERS FOR QUALITY IMPROVEMENT ORGANIZATIONS (QIOS) [ALSO KNOWN AS PEER REVIEW ORGANIZATIONS (PROS)]

- § G5:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G5:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G5:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G6. CHAPTERS FOR RISK-SHARING ORGANIZATIONS: MANAGED CARE ENTITIES, HMOS, COMPETITIVE MEDICAL PLANS, MEDICARE+CHOICE AND PACE PROVIDERS

- § G6:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G6:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G6:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G7. CHAPTERS FOR INSURANCE COMPANIES

- § G7:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G7:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G7:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

### GUIDE G8. CIVIL MONEY PENALTIES

- § G8:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G8:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G8:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

## GUIDE G9. EXCLUSION AUTHORITIES

- § G9:1 Part II, Chapter 2: Sanctions in the Medicare statute
- § G9:2 Part II, Chapter 3: Sanctions in the Medicaid statute
- § G9:3 Part II, Chapter 4: Sanctions in Title XI of the Social Security Act

## PART II. TEXT

### CHAPTER 1. PERSONS AND ENTITIES SUBJECT TO SANCTIONS

- § 1:1 Hospitals—Section 1861(e) [42 U.S.C.A. 1395x(e)]
- § 1:2 Psychiatric Hospitals—Section 1861(f) [42 U.S.C.A. 1395x(f)]
- § 1:3 Providers of Outpatient Physical or Occupational Therapy Services—Sections 1861(g) and (p) [42 U.S.C.A. 1395x(g) and (p)]
- § 1:4 Skilled Nursing Facilities—Section 1861(j) [42 U.S.C.A. 1395x(j)]
- § 1:5 Suppliers of Durable Medical Equipment—Section 1861(n) [42 U.S.C.A. 1395x(n)]
- § 1:6 Home Health Agencies and Others Engaged in Providing Home Health Services—Section 1861(m) and (o) [42 U.S.C.A. 1395x(m) and (o)]
- § 1:7 Physicians—Section 1861(r) [42 U.S.C.A. 1395x(r)]
- § 1:8 Suppliers of Medical and Other Health Services (Not Previously Mentioned)—Section 1861(s) [42 U.S.C.A. 1395x(s)]
- § 1:9 Religious Non-medical Health Care Institutions Providing Extended Care of Home Health Services—Section 1861(v), (ss), and (aaa) [42 U.S.C.A. 1395x(v), (ss), and (aaa)]
- § 1:10 Rural Health Clinics—Section 1861(aa) [42 U.S.C.A. 1395x(aa)]
- § 1:11 Federally Qualified Health Centers—Sections 1861(aa)(3) and (4) [42 U.S.C.A. 1395x(aa)(3) and (4)]
- § 1:12 Physician Assistants, Nurse Practitioners, and Clinical Nurse Specialists—Section 1861(aa)(5) [42 U.S.C.A. 1395x(aa)(5)]
- § 1:13 Certified Registered Nurse Anesthetists—Section 1861(bb) [42 U.S.C.A. 1395x(bb)]
- § 1:14 Comprehensive Outpatient Rehabilitation Facilities—Section 1861(cc) [42 U.S.C.A. 1395x(cc)]
- § 1:15 Hospices—Section 1861(dd) [42 U.S.C.A. 1395x(dd)]
- § 1:16 Certified Nurse Midwives—Section 1861(gg) [42 U.S.C.A. 1395x(gg)]
- § 1:17 Clinical Social Workers—Section 1861(hh) [42 U.S.C.A. 1395x(hh)]
- § 1:18 Psychologists—Section 1861(ii) [42 U.S.C.A. 1395x(ii)]
- § 1:19 Speech-Language Pathologists and Audiologists—Section 1861(ll)(1) [42 U.S.C.A. 1395x(ll)(1)]
- § 1:20 Audiologists—Section 1861(ll)(3) [42 U.S.C.A. 1395x(ll)(3)]
- § 1:21 Critical Access Hospital—Section 1861(mm) [42 U.S.C.A. 1395x(mm)]
- § 1:22 “Non-Providers” Who Provide Emergency Hospital Services—Section 1814(d) [42 U.S.C.A. 1395f(d)]
- § 1:23 “Non-Providers” Who Provide Inpatient Hospital Services Outside the United States—Section 1814(f) [42 U.S.C.A. 1395f(f)]
- § 1:24 Medicare Administrative Contractors (formerly known as Fiscal Intermediaries for Medicare Part A or Carriers for Medicare Part B)—Section 1816, Section 1842, and Section 1847A [42 U.S.C.A. 1395h and 1395u]
- § 1:25 Ambulatory Surgical Centers—Section 1832(a)(2)(F) [42 U.S.C.A. 1395k(a)(2)(F)]
- § 1:26 Medicare Advantage [formerly Medicare+Choice] Organizations—Sections 1851 to 1857
- § 1:27 Quality Improvement Organizations (formerly Peer Review Organizations)—Section 1862(g) [42 U.S.C.A. 1395y(g)]
- § 1:28 Health Maintenance Organizations and Competitive Medical Plans—Section 1876 [42 U.S.C.A. 1395mm]
- § 1:29 End Stage Renal Disease Network Area Administrative Organizations and Renal Dialysis Facilities—Section 1881 [42 U.S.C.A. 1395rr]
- § 1:30 Sellers of Medicare Supplemental Health Insurance Policies—Section 1882 [42 U.S.C.A. 1395ss]
- § 1:31 Pace Providers: Section 1894 [42 U.S.C.A. 1395eee]

## TABLE OF CONTENTS

- § 1:32 Medicaid Beneficiaries
- § 1:33 Medicaid Recipients—Section 1902(a)(10) [42 U.S.C.A. 1396a(a)(10)]
- § 1:34 Intermediate Care Facilities and Intermediate Care Facilities for the Mentally Retarded—Section 1902(a)(13) [42 U.S.C.A. 1396a(a)(13)]
- § 1:35 Institutions for Mental Disease (Private or Public)—Sections 1902(a)(20) and (21) and 1905(i) [42 U.S.C.A. 1396a(a)(20) and (21) and 1396d(i)]
- § 1:36 Providers of Home and Community Care for Functionally Disabled Elderly Individuals—Section 1929 [42 U.S.C.A. 1396u]
- § 1:37 Providers of Community Supported Living Arrangements Services—Section 1930 [42 U.S.C.A. 1396v]

## CHAPTER 2. SANCTIONS IN THE MEDICARE STATUTE

- § 2:1 Violation of Requirements for Private Contracts with Medicare Beneficiaries by Physicians and Other Practitioners—Section 1802(b) [42 U.S.C.A. 1395a(b)]
- § 2:2 Failure by Physicians, Providers, Suppliers, and Others to Furnish an Itemized Statement of Items and Services Provided to Medicare Beneficiaries—Section 1806 [42 U.S.C.A. 1395b-7]
- § 2:3 Falsifying Assessments of Residents of Skilled Nursing Facilities—Section 1819(b)(3)(B)(ii) [42 U.S.C.A. 1395i-3(b)(3)(B)(ii)]
- § 2:4 Abuse or Neglect of Skilled Nursing Facility Residents or Misappropriation of their Property—Section 1819(g)(1)(C) [42 U.S.C.A. 1395i-3(g)(1)(C)]
- § 2:5 Giving a Skilled Nursing Facility Advance Notice of a State or Federal Survey—Section 1819(g)(2) [42 U.S.C.A. 1395i-3(g)(2)]
- § 2:6 Failing a Skilled Nursing Facility Survey—Sections 1819(g) and (h) [42 U.S.C.A. 1395i-3(g) and (h)]
- § 2:7 Improper Billing for Clinical Diagnostic Laboratory Tests—Section 1833(h)(5)(D) [42 U.S.C.A. 1395l(h)(5)(D)]
- § 2:8 Improper billing for Intraocular Lenses—Section 1833(i)(6) [42 U.S.C.A. 1395l(i)(6)]
- § 2:9 Improper Billing for Services of a Certified Registered Nurse Anesthetist—Section 1833(l)(5)(B) [42 U.S.C.A. 1395l(l)(5)(B)]
- § 2:10 Overcharging by Physicians for Services of a Certified Registered Nurse Anesthetist—Section 1833(l)(6) [42 U.S.C.A. 1395l(l)(6)]
- § 2:11 Improper Billing for Certified Nurse-Midwife Services and Services of Qualified Psychologists and Clinical Social Workers—Section 1833(p) [42 U.S.C.A. 1395l(p)]
- § 2:12 Failure to Include Information About Referring Physicians on Requests for Payments or Bills—Section 1833(q) [42 U.S.C.A. 1395l(q)]
- § 2:13 Failure to Bill on an Assignment-Related Basis for Covered Services of a Nurse Practitioner or Clinical Nurse Specialist—Section 1833(r)(3)(B) [42 U.S.C.A. 1395(r)(3)(B)]
- § 2:14 Improper Billing for Rental Items Such as Durable Medical Equipment, Prosthetic Devices, Orthotics, and Prosthetics—Section 1834(a)(11)(A) [42 U.S.C.A. 1395m(a)(11)(A)]
- § 2:15 Improper Distribution by Suppliers of Forms Documenting Medical Necessity—Section 1834(a)(16) [42 U.S.C.A. 1395m(a)(16)]
- § 2:16 Violation of Prohibition Against Unsolicited Telephone Contacts by Suppliers Section 1834(a)(17) [42 U.S.C.A. 1395m(a)(17)]
- § 2:17 Failure by Suppliers to Make Required Refunds Section 1834(a)(18) [42 U.S.C.A. 1395m(a)(18)]
- § 2:18 Improper Billing by Physicians or Suppliers for Radiologist Services—Section 1834(b)(5)(C) [42 U.S.C.A. 1395m(b)(5)(C)]
- § 2:19 Overcharging for Services of a Physician Assistant or Nurse Practitioner—Section 1842(b)(12)(C) [42 U.S.C.A. 1395u(b)(12)(C)]
- § 2:20 Failure by Practitioners to Bill on an Assignment-Related Basis—Section 1842(b)(18) and Sections 1834(k) and (l) [42 U.S.C.A. 1395u(b)(18) and 42 U.S.C.A. 1394m(k) and (l)]
- § 2:21 Denial, Termination, and Nonrenewal of Physician and Supplier Participation Agreements—Section 1842(h) [42 U.S.C.A. 1395u(h)]
- § 2:22 Violating the Freeze on Physician Fees—Section 1842(j)(1) [42 U.S.C.A. 1395u(j)(1)]
- § 2:23 Improper Billing for Services of Assistants at Cataract and Other Types of Surgery—Sections 1842(k)(1) and (2) [42 U.S.C.A. 1395u(k)(1) and (2)]

- § 2:24 Wrongful Charges by Nonparticipating Physicians—Section 1842(l) [42 U.S.C.A. 1395u(l)]
- § 2:25 Wrongful Charges by Nonparticipating Physicians for Certain Elective Surgical Procedures—Section 1842(m) [42 U.S.C.A. 1395u(m)]
- § 2:26 Physician Failure to Eliminate the Mark-Up for Certain Purchased Diagnostic Tests—Section 1842(n) [42 U.S.C.A. 1395u(n)]
- § 2:27 Failure by Physicians and Other Practitioners to Provide Appropriate Diagnosis Codes on Bills—Section 1842(p) [42 U.S.C.A. 1395u(p)]
- § 2:28 Intermediate Sanctions for Providers or Suppliers of Clinical Diagnostic Laboratory Tests—Section 1846 [42 U.S.C.A. 1395w-2]
- § 2:29 Misrepresentation in Reporting Manufacturer's Average Sales Price for a Drug or Biological—Section 1847A(d)(4) [42 U.S.C.A. 1395]
- § 2:30 Wrongful Charges for Interpreting Electrocardiograms—Section 1848(b)(3) [42 U.S.C.A. 1395w-4(b)(3)]
- § 2:31 Violating Limitations on Physician Charges by Nonparticipating Physicians, Suppliers, or Other Persons after 1990—Section 1848(g)(1) [42 U.S.C.A. 1395w-4(g)(1)]
- § 2:32 Failure to Bill on an Assignment-Related Basis for Services to Persons Enrolled under Medicare Part B and Eligible for Medicaid—Section 1848(g)(3) [42 U.S.C.A. 1395w-4(g)(3)]
- § 2:33 Failure by Physicians, Suppliers, and Others, Including Their Employers and Related Facilities, to Submit Claims on Specified Claim Forms—Section 1848(g)(4) [42 U.S.C.A. 1395w-4(g)(4)]
- § 2:34 Termination of Medicare Advantage [formerly Medicare+Choice] Contracts—Section 1857(c)(2)
- § 2:35 Failure by Medicare Advantage [formerly Medicare+Choice] Organizations to Comply with Requirements for Beneficiary Protections and Protections Against Fraud—Section 1857(d)
- § 2:36 Failure to comply with requirements of the Medicare Coverage Gap Discount Program—Section 1860D-14A [42 U.S.C.A. 1395w-114A]
- § 2:37 Sanctions for Abusive Practices by Sponsors of Medicare Prescription Drug Discount Cards—Section 1860D-31 [42 U.S.C.A. 1395w-141]
- § 2:38 Failure by Primary Payers to Comply with Medicare Secondary Payer Requirements—Section 1862(b) [42 U.S.C.A. 1395y(b)]
- § 2:39 Failure by Employers to Comply with Medicare Secondary Payer Requirements—Section 1862(b)(5)(C)(ii) [42 U.S.C.A. 1395y(b)(5)(C)(ii)]
- § 2:40 Violation of Medicare Secondary Payer Screening and Information Gathering Requirements by Providers, Suppliers, and Various Group Health Plans and Insurers—Section 1862(b)(6), (7), and (8) [42 U.S.C.A. 1395y(b)(6), (7) and (8)]
- § 2:41 Prohibition Against Payment to Individuals and Entities Sanctioned under the Social Security Act—Section 1862(e) [42 U.S.C.A. 1395y(e)]
- § 2:42 Special Obligations Regarding Pacemakers—Section 1862(h) [42 U.S.C.A. 1395y(h)]
- § 2:43 Publicizing Providers Survey Results—Section 1864 [42 U.S.C.A. 1395aa]
- § 2:44 Terminating Provider Agreements and Denying Providers and Suppliers the Right to Enroll or Renew Enrollment in Medicare—Sections 1866(b) and (j) [42 U.S.C.A. 1395cc(b) and (j)]
- § 2:45 Failure by Certain Hospitals not Subject to OSHA to Comply with Bloodborne Pathogens Standards—Section 1866(b)(4) [42 U.S.C.A. 1395cc(b)(4)]
- § 2:46 Failure by Hospitals to Make Timely Review of Long-Stay Cases—Section 1866(d) [42 U.S.C.A. 1395cc(d)]
- § 2:47 Failure by Hospitals to Have Arrangements which Preclude Certain Practitioners and Suppliers from Seeking Further Payment from Beneficiaries—Section 1866(g) [42 U.S.C.A. 1395cc(g)]
- § 2:48 Failure by Hospitals and Certain Physicians to Examine and Treat Persons for Emergency Medical Conditions and Women in Labor—Section 1867 [42 U.S.C.A. 1395(dd)]
- § 2:49 Failure by Organizations with Risk-Sharing Contracts under Medicare (such as Health Maintenance Organizations and Competitive Medical Plans) to Provide Required Information about Their Services—Section 1876(c)(3)(C) [42 U.S.C.A. 1395mm(c)(3)(C)]
- § 2:50 Failure by Organizations with Risk-Sharing Contracts under Medicare (Such As Health Maintenance Organizations and Competitive Medical Plans) to Have at Least One-Half of Their Enrolled Members Be Persons Not Eligible for Medicare or Medicaid—Section 1876(f) [42 U.S.C.A. 1395mm(f)]



## TABLE OF CONTENTS

- § 2:51 Failure by Organizations with Risk-Sharing Contracts (Such As Health Maintenance Organizations and Competitive Medical Plans) to Make Prompt Payment of Claims—Section 1876(g) [42 U.S.C.A. 1395mm(g)]
- § 2:52 Limiting Cost Reimbursement to Risk-Sharing Organizations (Such As Health Maintenance Organizations and Competitive Medical Plans) Not Eligible to Participate in Medicare—Section 1876(h) [42 U.S.C.A. 1395mm(h)]
- § 2:53 Terminating Contracts of Risk-Sharing Organizations (Such as Health Maintenance Organizations and Competitive Medical Plans)—Section 1876(i)(1) [42 U.S.C.A. 1395mm(i)(1)]
- § 2:54 Failure by Risk-Sharing Organizations (Such as Health Maintenance Organizations and Competitive Medical Plans) to Comply with Requirements for Provision of Services, Premiums, Treatment of Applicants and Members, Truthfulness, Prompt Payment, and Avoiding Business Relationships with Excluded Individuals and Entities—Section 1876(i)(6) [42 U.S.C.A. 1395mm(i)(6)]
- § 2:55 Violating Limitations on Physician Referrals and Related Reporting Requirements—Section 1877 [42 U.S.C.A. 1395nn]
- § 2:56 Terminating Agreements with End Stage Renal Disease Network Area Organizations—Section 1881(c)(1) [42 U.S.C.A. 1395rr(c)(1)]
- § 2:57 Failure by End Stage Renal Disease Facilities and Providers of End Stage Renal Disease Care to Cooperate with End Stage Renal Disease Network Plans and Goals and Failure to Follow End Stage Renal Disease Medical Review Board Recommendations—Section 1881(c)(3) and (g) [42 U.S.C.A. 1395rr(c)(3) and (g)]
- § 2:58 Issuing Medicare Supplemental Health Insurance Policies in Violation of State or Federal Standards—Section 1882(a)(2) [42 U.S.C.A. 1395ss(a)(2)]
- § 2:59 Misrepresentation and Fraud in Obtaining and Using Secretarial Certification of Medicare Supplemental Health Insurance Policies—Section 1882(d)(1) [42 U.S.C.A. 1395ss(d)(1)]
- § 2:60 Misrepresentation by Sellers of Medicare Supplemental Health Insurance Policies That They Act by Authority of or in Association with Medicare or Any Federal Agency—Section 1882(d)(2) [42 U.S.C.A. 1395ss(d)(2)]
- § 2:61 Selling Medicare Beneficiaries Supplemental Health Insurance Policies That Duplicate Medicare Benefits/Not Obtaining a Valid Buyer's Statement/Not Preparing Seller's Acknowledgment/Failing to Comply with Disclosure Requirements—Section 1882(d)(3) [42 U.S.C.A. 1395ss(d)(3)]
- § 2:62 Using the Mail to Market Medicare Supplemental Health Insurance Policies Which Have Not Been State-Approved—Section 1882(d)(4) [42 U.S.C.A. 1395ss(d)(4)]
- § 2:63 Issuing or Selling Medicare Supplemental Health Insurance Policies That Do Not Comply with Form and Content Requirements—Section 1882(p)(8) [42 U.S.C.A. 1395ss(p)(8)]
- § 2:64 Failure to Offer a Medicare Supplemental Health Insurance Policy That Provides Only the Core Group of Basic Benefits—Section 1882(p)(9)(C) [42 U.S.C.A. 1395ss(p)(9)(C)]
- § 2:65 Failure to Provide Reinstatement Rights to Purchasers of Medicare Supplemental Health Insurance Policies Who Become Eligible for Medicaid—Section 1882(q)(5) [42 U.S.C.A. 1395ss(q)(5)]
- § 2:66 Failure by Issuers of Medicare Supplemental Health Insurance Policies to Meet Requirements for Preexisting Conditions, Waiting Periods, Elimination Periods, Probationary Periods, and Price and Coverage Nondiscrimination—Section 1882(s)(3) [42 U.S.C.A. 1395ss(s)(3)]
- § 2:67 Special Obligations for Issuers of Medicare Supplemental Health Insurance Policies Who Provide Benefits through Contracts with Networks of Providers (MEDICARE SELECT)—Section 1882(t)(2) [42 U.S.C.A. 1395ss(t)(2)]
- § 2:68 Failure by Issuers of Medicare Supplemental Insurance to Comply with Prohibitions on Sale, Issuance, and Renewal of Medicare Supplemental Plans that Provide Prescription Drug Coverage—Section 1882(v) [42 U.S.C.A. 1395ss-(v)]
- § 2:69 Terminating Provider Agreements of Hospital Providers of Extended Care Services—Section 1883 [42 U.S.C.A. 1395tt]
- § 2:70 Withholding Medicare Payments from Overpaid Medicaid Providers—Section 1885 [42 U.S.C.A. 1395vv]
- § 2:71 Discontinuing and Reducing Payments to Hospitals for Inpatient Hospital Services in States

- Which Have Alternative (Non-Federal DRG) Hospital Reimbursement Systems—Section 1886(c) [42 U.S.C.A. 1395ww(c)]
- § 2:72 Unnecessary Hospital Admissions and Other Inappropriate Practices by Hospitals to Circumvent Reimbursement Requirements—Section 1886(f) [42 U.S.C.A. 1395ww(f)]
- § 2:73 Giving a Home Health Agency Advance Notice of a Standard Survey—Section 1891(c)(1) [42 U.S.C.A. 1395bbb(c)(1)]
- § 2:74 Failure by a Home Health Agency to Comply with Medicare Conditions of Participation—Sections 1891(e) and (f) [42 U.S.C.A. 1395bbb(e) and (f)]
- § 2:75 Offsetting Medicare Payments to Individuals to Collect Past-Due Obligations Arising from Breach of Scholarship and Loan Contracts—Section 1892 [42 U.S.C.A. 1395ccc]
- § 2:76 Termination of Pace Provider Agreements—Section 1894 [42 U.S.C.A. 1395eee]

## **CHAPTER 3. SANCTIONS IN THE MEDICAID STATUTE**

- § 3:1 Publicizing Findings of State Surveys of Health Care Facilities—Section 1902(a)(36) [42 U.S.C.A. 1396a(a)(36)]
- § 3:2 Additional Penalties for Persons of Entities Sanctioned by Exclusion under Section 1128 or under Section 1128A—Section 1902(a)(39) [42 U.S.C.A. 1396a(a)(39)]
- § 3:3 Disclosing Information about Sanctions Against Health Care Practitioners and Providers—Section 1902(a)(49) and Section 1921 [42 U.S.C.A. 1396a(a)(49) and 42 U.S.C.A. 1396r-2]
- § 3:4 Billing Medicaid Eligibles or Financially Responsible Relatives of Representatives for Medical Expenses When Third Parties Are Liable to Pay—Sections 1902(g) and 1902(a)(25) [42 U.S.C.A. 1396a(g) and 1396a(a)(25)]
- § 3:5 Failure by an Intermediate Care Facility for the Mentally Retarded to Comply with Medicaid Conditions for Participation—Section 1902(i) [42 U.S.C.A. 1396a(i)]
- § 3:6 Overcharging Medicaid Eligibles Who Are Qualified Medicare Beneficiaries—Section 1902(n)(3) [42 U.S.C.A. 1396a(n)(3)]
- § 3:7 Providing Medicaid Exclusions for the Same Grounds as Medicare Exclusions—Section 1902(p)(1) [42 U.S.C.A. 1396a(p)(1)]
- § 3:8 Excluding Managed Care Organizations and Other Entities Authorized to Implement Primary Care Case Management or Specialty Physician Services—Section 1902(p)(2) [42 U.S.C.A. 1396a(p)(2)]
- § 3:9 Termination of Medicaid Certification of and Intermediate Sanctions for Psychiatric Hospitals—Section 1902(y) [42 U.S.C.A. 1396a(y)]
- § 3:10 Failure by Managed Care Organizations to Comply with Medicaid Requirements—Section 1903(m)(5) [42 U.S.C.A. 1396b(m)(5)]
- § 3:11 Failure by States to Meet Medicaid Plan Requirements—Section 1904 [42 U.S.C.A. 1396c]
- § 3:12 Cancelling Certification and Approval of Skilled Nursing Facilities, Intermediate Care Facilities, and Intermediate Care Facilities for the Mentally Retarded—Section 1910 [42 U.S.C.A. 1396i]
- § 3:13 Disapproving Rural Health Clinic Applications for Certification—Section 1910(a) [42 U.S.C.A. 1396i(a)]
- § 3:14 Requiring States to Withhold Medicaid Underpayments to Offset Medicare Overpayments—Section 1914 [42 U.S.C.A. 1396m]
- § 3:15 Failure by Nursing Facilities to Comply with Medicaid Requirements for Resident Assessments—Section 1919(b) [42 U.S.C.A. 1396r(b)]
- § 3:16 Abuse or Neglect of Nursing Facilities Residents or Misappropriation of their Property—Section 1919(g)(1)(C) [42 U.S.C.A. 1396r(g)(1)(C)]
- § 3:17 Giving Nursing Facilities Advance Notice of a Survey—Section 1919(g)(2)(A)(i) [42 U.S.C.A. 1396r(g)(2)(A)(i)]
- § 3:18 Failing a Nursing Facility Survey—Sections 1919(g)(5) and 1919(h), [42 U.S.C.A. 1396r(g)(5), 1396r(h)]
- § 3:19 Failure by Intermediate Care Facilities for the Mentally Retarded to Meet Federal Standards—Section 1922 [42 U.S.C.A. 1396r-3]
- § 3:20 Failure by Drug Manufacturers and Wholesalers to Comply with Medicaid Drug Rebate Requirements—Section 1927 [42 U.S.C.A. 1396s]

## TABLE OF CONTENTS

- § 3:21 Giving Advance Notice of a Survey to a Community Care Setting for Functionally Disabled Elderly Individuals—Section 1929(i)(3)(A) [42 U.S.C.A. 1396u(i)(3)(A)]
- § 3:22 Neglect and Abuse and Misappropriation of Property of Individuals in Home and Community Care Settings for Functionally Disabled Elderly Individuals—Section 1929(i)(5) [42 U.S.C.A. 1396u(i)(5)]
- § 3:23 Disclosure of Inspection Reports and Activities Related to Home and Community Care Settings for Functionally Disabled Elderly Individuals—Section 1929(i)(6) [42 U.S.C.A. 1396u(i)(6)]
- § 3:24 Failure by Home and Community Care Settings for Functionally Disabled Elderly Individuals to Comply with Medicaid Requirements—Section 1929(j) [42 U.S.C.A. 1396u(j)]
- § 3:25 Failure by Providers of Community Supported Living Arrangements Services to Comply with Statutory Requirements—Section 1930(h)(2) [42 U.S.C.A. 1396v(h)(2)]
- § 3:26 Failure by Medicaid Managed Care Organizations to Comply with Fraud and Abuse Protection Requirements—Sections 1932(d) and (e) [42 U.S.C.A. 1396u-2(e)]
- § 3:27 Termination of Medicaid Contracts with Managed Care Entities—Section 1932(e)(4) [42 U.S.C.A. 1396u-2(e)(4)]
- § 3:28 Termination of Medicaid Pace Provider Agreements—Section 1934(e)(5) [42 U.S.C.A. 1396u-4(e)(5)]
- § 3:29 Intermediate Sanctions for Medicaid Pace Providers—Section 1934(e)(6)(B) [42 U.S.C.A. 1396u-4(e)(6)(B)]

## CHAPTER 4. SANCTIONS IN TITLE XI OF THE SOCIAL SECURITY ACT

- § 4:1 Disclosure of Information in the Possession of the Secretary of Health and Human Services—Section 1106 [42 U.S.C.A. 1306]
- § 4:2 False Representations about Requirements of the Social Security Act—Section 1107(a) [42 U.S.C.A. 1307]
- § 4:3 False Representations to Elicit Information from the Secretary of Health and Human Services—Section 1107(b) [42 U.S.C.A. 1307(b)]
- § 4:4 Failure to Comply with State Health Planning Requirements—Section 1122 [42 U.S.C.A. 1320a-1]
- § 4:5 Failure to Comply with Subpoenas Issued by the Comptroller General—Section 1125(b) [42 U.S.C.A. 1320a-4(b)]
- § 4:6 Exclusion from Medicare and State Health Care Programs—Section 1128 [42 U.S.C.A. 1320a-6]
- § 4:7 Disclosure by Institutions, Organizations and Agencies of Owners and Other Individuals Sanctioned or Convicted and of Certain Business Relationships—Sections 1128(b)(9) and (10), 1124, 1124A, and 1126 [42 U.S.C.A. 1320a-7(b)(9) and (10), 1320a-3, 1320a-3a, and 1320a-5]
- § 4:8 Civil Money Penalties—Section 1128A [42 U.S.C.A. 1320a-7a]
- § 4:9 Criminal Penalties: False Statements, False Representations, Concealment, Failure to Disclose, Wrongful Conversion of Benefits and Payments, Claims for Physicians' Services by Persons Not Licensed as a Physician, and Disposal of Assets to Obtain Medicaid Eligibility—Section 1128B(a) [42 U.S.C.A. 1320a-7b(a)]
- § 4:10 Criminal Penalties: Kickbacks, Bribes, and Rebates—Section 1128B(b) [42 U.S.C.A. 1320a-7b(b)]
- § 4:11 Criminal Penalties: False Statements and False Representations to Qualify for Provider Status—Section 1128B(c) [42 U.S.C.A. 1320a-7b(c)]
- § 4:12 Criminal Penalties: Excessive Medicaid Charges and Unlawful Financial Preconditions for Care in Hospitals and Nursing Facilities—Section 1128B(d) [42 U.S.C.A. 1320a-7b(d)]
- § 4:13 Criminal Penalties: Violating a Physician or Supplier Participation Agreement or a Medicare Assignment of Benefits Agreement—Section 1128B(e) [42 U.S.C.A. 1320a-7b(e)]
- § 4:14 Failure to Report Information about Final Adverse Actions Against Health Care Providers, Suppliers, and Practitioners to the National Health Care Fraud and Abuse Data Collections Program—Section 1128E(b)(6) [42 U.S.C.A. 1320a-7e(b)(6)]

- § 4:15 Failure to Comply with Requirements to Report Physician Ownership and Investment Interests and Requirements for Transparency Reports—Section 1128G [42 U.S.C.A. 1320a-7h]
- § 4:16 Failure to Comply with Accountability Requirements for Medicaid Nursing Facilities and Medicare Skilled Nursing Facilities—Section 1128I [42 U.S.C.A. 1320a-7(j)]
- § 4:17 Failure to Timely Report and Return Overpayments and to Comply with Medicare and Medicaid Program Integrity Provisions—Section 1128j [42 U.S.C.A. 1320a-7(k)]
- § 4:18 Failure by Health Benefits Plans and Pharmacy Benefit Managers to Timely Provide Required Information—Section 1150A [42 U.S.C.A. 1320b-23]
- § 4:19 Failure to Report Crimes Occurring in Federally-funded Long Term Care Facilities—Section 1150B [42 U.S.C.A. 1320b-24]
- § 4:20 Misuse of Federal Government Names, Symbols, and Emblems—Section 1140 [42 U.S.C.A. 1320b-10]
- § 4:21 Violating Reporting and Disclosure Obligations Regarding the Medicare and Medicaid Coverage Date Bank—Section 1144 [42 U.S.C.A. 1320b-14]
- § 4:22 Public Access to Information about Hospital Financial Interests in Entities to Which Referrals of Patients Are Made—Sections 1146 and 1866(a)(1)(S) [42 U.S.C.A. 1320b-16 and 1395cc(a)(1)(S)]
- § 4:23 Terminating Contracts with Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1153 [42 U.S.C.A. 1320c-2]
- § 4:24 Disallowance of Medicare Claims by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1154 [42 U.S.C.A. 1320c-3]
- § 4:25 Sanctions Recommended by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1156 [42 U.S.C.A. 1320c-5]
- § 4:26 Unlawful Disclosure of Information Obtained by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1160 [42 U.S.C.A. 1320c-9]
- § 4:27 Disqualification of Physicians from Giving Second Opinions about Surgery—Section 1164(b)(4)(D) [42 U.S.C.A. 1320c-13(b)(4)(D)]

## **CHAPTER 5. REGULATIONS: SANCTIONS IN THE MEDICARE STATUTE**

- § 5:1 Falsifying Assessments of Residents of Skilled Nursing Facilities—Section 1819(b)(3)(B)(ii) [42 U.S.C.A. 1395i-3(b)(3)(B)(ii)]
- § 5:2 Violation of Requirements for Private Contracts with Medicare Beneficiaries by Physicians and Other Practitioners—Section 1802(b) [42 U.S.C.A. 1395a(b)]
- § 5:3 Failure by Physicians, Providers, Suppliers, and Others to Furnish an Itemized Statement of Items and Services Provided to Medicare Beneficiaries—Section 1806 [42 U.S.C.A. 1395b-7]
- § 5:4 Abuse or Neglect of Skilled Nursing Facility Residents or Misappropriation of Their Property—Section 1819(g)(1)(C) [42 U.S.C.A. 1395i-3(g)(1)(C)]
- § 5:5 Giving a Skilled Nursing Facility Advance Notice of a State or Federal Survey—Section 1819(g)(2) [42 U.S.C.A. 1395i-3(g)(2)]
- § 5:6 Failing a Skilled Nursing Facility Survey—Sections 1819(g) and (h) [42 U.S.C.A. 1395i-3(g) and (h)]
- § 5:7 Improper Billing for Clinical Diagnostic Laboratory Tests—Section 1833(h)(5)(D) [42 U.S.C.A. 1395l(h)(5)(D)]
- § 5:8 Improper Billing for Intraocular Lenses—Section 1833(i)(6) [42 U.S.C.A. 1395l(i)(6)]
- § 5:9 Improper Billing for Services of a Certified Registered Nurse Anesthetist—Section 1833(l)(5)(B) [42 U.S.C.A. 1395l(l)(5)(B)]
- § 5:10 Overcharging by Physicians for Services of a Certified Registered Nurse Anesthetist—Section 1833(l)(6) [42 U.S.C.A. 1395l(l)(6)]
- § 5:11 Improper Billing for Certified Nurse-Midwife Services and Services of Qualified Psychologists and Clinical Social Workers—Section 1833(p) [42 U.S.C.A. 1395l(p)]
- § 5:12 Failure to Include Information about Referring Physicians on Requests for Payments or Bills—Section 1833(q) [42 U.S.C.A. 1395l(q)]
- § 5:13 Failure to Bill on an Assignment-Related Basis for Covered Services of a Nurse Practitioner or Clinical Nurse Specialist—Section 1833(r)(3)(B) [42 U.S.C.A. 1395l(r)(3)(B)]

## TABLE OF CONTENTS

- § 5:14 Improper Billing for Rental Items Such as Durable Medical Equipment, Prosthetic Devices, Orthotics, and Prosthetics—Section 1834(a)(11)(A) [42 U.S.C.A. 1395m(a)(11)(A)]
- § 5:15 Improper Distribution by Suppliers of Forms Documenting Medical Necessity—Section 1834(a)(16) [42 U.S.C.A. 1395m(a)(16)]
- § 5:16 Violation of Prohibition Against Unsolicited Telephone Contacts by Suppliers—Section 1834(a)(17) [42 U.S.C.A. 1395m(a)(17)]
- § 5:17 Failure by Suppliers to Make Required Refunds—Section 1834(a)(18) [42 U.S.C.A. 1395m(a)(18)]
- § 5:18 Improper Billing by Physicians or Suppliers for Radiologist Services—Section 1834(b)(5)(C) [42 U.S.C.A. 1395m(b)(5)(C)]
- § 5:19 Overcharging for Services of a Physician Assistant or Nurse Practitioner—Section 1842(b)(12)(C) [42 U.S.C.A. 1395u(b)(12)(C)]
- § 5:20 Failure by Practitioner to Bill on an Assignment-Related Basis—Section 1842(b)(18) and Sections 1834(k) and (l) [42 U.S.C.A. 1395u(b)(18) and 42 U.S.C.A. 1394m(k) and (l)]
- § 5:21 Denial, Termination, and Nonrenewal of Physician and Supplier Participation Agreements—Section 1842(h) [42 U.S.C.A. 1395u(h)]
- § 5:22 Violating the Freeze on Physician Fees—Section 1842(j)(1) [42 U.S.C.A. 1395u(j)(1)]
- § 5:23 Improper Billing for Services of Assistants at Cataract and Other Types of Surgery—Sections 1842(k)(1) and (2) [42 U.S.C.A. 1395u(k)(1) and (2)]
- § 5:24 Wrongful Charges by Nonparticipating Physicians—Section 1842(l) [42 U.S.C.A. 1395u(l)]
- § 5:25 Wrongful Charges by Nonparticipating Physicians for Certain Elective Surgical Procedures—Section 1842(m) [42 U.S.C.A. 1395u(m)]
- § 5:26 Physician Failure to Eliminate the Mark-Up for Certain Purchased Diagnostic Tests—Section 1842(n) [42 U.S.C.A. 1395u(n)]
- § 5:27 Physician Failure to Provide Appropriate Diagnosis Codes on Bills—Section 1842(p) [42 U.S.C.A. 1395u(p)]
- § 5:28 Intermediate Sanctions for Providers or Suppliers of Clinical Diagnostic Laboratory Tests—Section 1846 [42 U.S.C.A. 1395w-2]
- § 5:29 Misrepresentation in Reporting Manufacturer’s Average Sales Price for a Drug or Biological—Section 1847A(d)(4) [42 U.S.C.A. 1395]
- § 5:30 Wrongful Charges for Interpreting Electrocardiograms—Section 1848(b)(3) [42 U.S.C.A. 1395w-4(b)(3)]
- § 5:31 Violating Limitations on Physician Charges by Nonparticipating Physicians, Suppliers, or Other Persons after 1990—Section 1848(g)(1) [42 U.S.C.A. 1395w-4(g)(1)]
- § 5:32 Failure to Bill on an Assignment-Related Basis for Services to Persons Enrolled under Medicare Part B and Eligible for Medicaid—Section 1848(g)(3) [42 U.S.C.A. 1395w-4(g)(3)]
- § 5:33 Failure by Physicians, Suppliers, and Others, Including Their Employers and Related Facilities, to Submit Claims on Specified Claim Forms—Section 1848(g)(4) [42 U.S.C.A. 1395w-(g)(4)]
- § 5:34 Termination of Medicare Advantage [Medicare+Choice] Contracts—Section 1857(c)(2) [42 U.S.C.A. 1395w-27(c)(2)]
- § 5:35 Failure by Medicare Advantage [Medicare+Choice] Organizations to Comply with Requirements for Beneficiary Protections and Protections against Fraud—Section 1857(d) [42 U.S.C.A. 1395w-27(d)]
- § 5:36 Failure to Comply with Requirements of the Medicare Coverage Gap Discount Program—Section 1860D-14A [42 U.S.C.A. 1395w-114A]
- § 5:37 Sanctions for Abusive Practices by Sponsors of Medicare Prescription Drug Discount Cards—Section 1860D-31 [42 U.S.C.A. 1395w-141]
- § 5:38 Failure by Primary Payers to Comply with Medicare Secondary Payer Requirements—Section 1862(b) [42 U.S.C.A. 1395y(b)]
- § 5:39 Failure by Employers to Comply with Medicare Secondary Payer Requirements—Section 1862(b)(5)(C)(ii) [42 U.S.C.A. 1395y(b)(5)(C)(ii)]
- § 5:40 Violation of Medicare Secondary Payer Requirements by Providers and Suppliers—Section 1862(b)(6) [42 U.S.C.A. 1395y(b)(6)]
- § 5:41 Prohibition against Payment to Individuals and Entities Sanctioned under the Social Security Act—Section 1862(e) [42 U.S.C.A. 1395y(e)]

- § 5:42 Special Obligations Regarding Pacemakers—Section 1862(h) [42 U.S.C.A. 1395y(h)]
- § 5:43 Publicizing Provider Survey Results—Section 1864 [42 U.S.C.A. 1395aa]
- § 5:44 Terminating Provider Agreements and Denying Providers and Suppliers the Right to Enroll or Renew Enrollment in Medicare—Sections 1866(b) and (j) [42 U.S.C.A. 1395cc(b) and (j)]
- § 5:45 Failure by Hospitals to Make Timely Review of Long-Stay Cases—Section 1866(d) [42 U.S.C.A. 1395cc(d)]
- § 5:46 Failure by Hospitals to Have Arrangements Which Preclude Certain Practitioners and Suppliers from Seeking Further Payment from Beneficiaries—Section 1866(g) [42 U.S.C.A. 1395cc(g)]
- § 5:47 Failure by Hospitals and Certain Physicians to Examine and Treat Persons for Emergency Medical Conditions and Women in Labor—Section 1867 [42 U.S.C.A. 1395(dd)]
- § 5:48 Failure by Organizations with Risk-Sharing Contracts under Medicare (Such as Health Maintenance Organizations and Competitive Medical Plans) to Provide Required Information about Their Services—Section 1876(c)(3)(C) [42 U.S.C.A. 1395mm(c)(3)(C)]
- § 5:49 Failure by Organizations with Risk-Sharing Contracts under Medicare (Such As Health Maintenance Organizations and Competitive Medical Plans) to Have at Least One-Half of Their Enrolled Members Be Persons Not Eligible for Medicare or Medicaid—Section 1876(f) [42 U.S.C.A. 1395mm(f)]
- § 5:50 Failure by Organizations with Risk-Sharing Contracts (Such as Health Maintenance Organizations and Competitive Medical Plans) to Make Prompt Payment of Claims—Section 1876(g) [42 U.S.C.A. 1395mm(g)]
- § 5:51 Limiting Cost Reimbursement to Risk-Sharing Organizations (Such as Health Maintenance Organizations and Competitive Medical Plans) Not Eligible to Participate in Medicare—Section 1876(h) [42 U.S.C.A. 1395mm(h)]
- § 5:52 Terminating Contracts of Risk-Sharing Organizations (Such as Health Maintenance Organizations and Competitive Medical Plans)—Section 1876(i)(1) [42 U.S.C.A. 1395mm(i)(1)]
- § 5:53 Failure by Risk-Sharing Organizations (Such as Health Maintenance Organizations and Competitive Medical Plans) to Comply with Requirements for Provision of Services, Premiums, Treatment of Applicants and Members, Truthfulness, Prompt Payment, and Avoiding Business Relationships with Excluded Individuals and Entities—Section 1876(i)(6) [42 U.S.C.A. 1395mm(i)(6)]
- § 5:54 Violating Limitations on Physician Referrals and Related Reporting Requirements—Section 1877 [42 U.S.C.A. 1395nn]
- § 5:55 Terminating Agreements with End Stage Renal Disease Network Area Organizations—Section 1881(c)(1) [42 U.S.C.A. 1395rr(c)(1)]
- § 5:56 Failure by End Stage Renal Disease Facilities and Providers of End Stage Renal Disease Care to Cooperate with End Stage Renal Disease Network Plans and Goals and Failure to Follow End Stage Renal Disease Medical Review Board Recommendations—Section 1881(c)(3) and (g) [42 U.S.C.A. 1395rr(c)(3) and (g)]
- § 5:57 Issuing Medicare Supplemental Health Insurance Policies in Violation of State or Federal Standards—Section 1882(a)(2) [42 U.S.C.A. 1395ss(a)(2)]
- § 5:58 Misrepresentation and Fraud in Obtaining and Using Secretarial Certification of Medicare Supplemental Health Insurance Policies—Section 1882(d)(1) [42 U.S.C.A. 1395ss(d)(1)]
- § 5:59 Misrepresentation by Sellers of Medicare Supplemental Health Insurance Policies That They Act by Authority of or in Association with Medicare or Any Federal Agency—Section 1882(d)(2) [42 U.S.C.A. 1395ss(d)(2)]
- § 5:60 Selling Medicare Beneficiaries Supplemental Health Insurance Policies That Duplicate Medicare Benefits/Not Obtaining a Valid Buyer's Statement/Not Preparing Seller's Acknowledgment/Failing to Comply with Disclosure Requirements—Section 1882(d)(3) [42 U.S.C.A. 1395ss(d)(3)]
- § 5:61 Using the Mail to Market Medicare Supplemental Health Insurance Policies Which Have Not Been State-Approved—Section 1882(d)(4) [42 U.S.C.A. 1395ss(d)(4)]
- § 5:62 Issuing or Selling Medicare Supplemental Health Insurance Policies That Do Not Comply with Form and Content Requirements—Section 1882(p)(8) [42 U.S.C.A. 1395ss(p)(8)]
- § 5:63 Failure to Offer a Medicare Supplemental Health Insurance Policy That Provides Only the Core Group of Basic Benefits—Section 1882(p)(9)(C) [42 U.S.C.A. 1395ss(p)(9)(C)]

## TABLE OF CONTENTS

- § 5:64 Failure to Provide Reinstatement Rights to Purchasers of Medicare Supplemental Health Insurance Policies Who Become Eligible for Medicaid—Section 1882(q)(5) [42 U.S.C.A. 1395ss(q)(5)]
- § 5:65 Failure by Issuers of Medicare Supplemental Health Insurance Policies to Meet Requirements for Preexisting Conditions, Waiting Periods, Elimination Periods, Probationary Periods, and Price and Coverage Nondiscrimination—Section 1882(s)(3) [42 U.S.C.A. 1395ss(s)(3)]
- § 5:66 Special Obligations for Issuers of Medicare Supplemental Health Insurance Policies Who Provide Benefits through Contracts with Networks of Providers (Medicare Select)—Section 1882(t)(2) [42 U.S.C.A. 1395ss(t)(2)]
- § 5:67 Failure by Issuers of Medicare Supplemental Insurance to Comply with Prohibition on Sale, Issuance, and Renewal of Medicare Supplemental Plans That Provide Prescription Drug Coverage—Section 1882(v) [42 U.S.C.A. 1395ss-(v)]
- § 5:68 Terminating Provider Agreements of Hospital Providers of Extended Care Services—Section 1883 [42 U.S.C.A. 1395tt]
- § 5:69 Withholding Medicare Payments from Overpaid Medicaid Providers—Section 1885 [42 U.S.C.A. 1395vv]
- § 5:70 Discontinuing and Reducing Payments to Hospitals for Inpatient Hospital Services in States Which Have Alternative (Non-Federal DRG) Hospital Reimbursement Systems—Section 1886(c) [42 U.S.C.A. 1395ww(c)]
- § 5:71 Unnecessary Hospital Admissions and Other Inappropriate Practices by Hospitals to Circumvent Reimbursement Requirements—Section 1886(f) [42 U.S.C.A. 1395ww(f)]
- § 5:72 Giving a Home Health Agency Advance Notice of a Standard Survey—Section 1891(c)(1) [42 U.S.C.A. 1395bbb(c)(1)]
- § 5:73 Failure by a Home Health Agency to Comply with Medicare Conditions of Participation—Sections 1891(e) and (f) [42 U.S.C.A. 1395bbb(e) and (f)]
- § 5:74 Offsetting Medicare Payments to Individuals to Collect Past-Due Obligations Arising from Breach of Scholarship and Loan Contracts—Section 1892 [42 U.S.C.A. 1395ccc]
- § 5:75 Termination of Pace Provider Agreements—Section 1894 [42 U.S.C. A. 1395eee]

## CHAPTER 6. REGULATIONS: SANCTIONS IN THE MEDICAID STATUTE

- § 6:1 Publicizing Findings of State Surveys of Health Care Facilities—Section 1902(a)(36) [42 U.S.C.A. 1396a(a)(36)]
- § 6:2 Additional Penalties for Persons or Entities Sanctioned by Exclusion under Section 1128 or under Section 1128A—Section 1902(a)(39) [42 U.S.C.A. 1396a(a)(39)]
- § 6:3 Disclosing Information about Sanctions Against Health Care Practitioners and Providers—Section 1902(a)(49) and Section 1921 [42 U.S.C.A. 1396a(a)(49) and 42 U.S.C.A. 1396r-2]
- § 6:4 Billing Medicaid Eligibles or Financially Responsible Relatives or Representatives for Medical Expenses When Third Parties Are Liable to Pay—Sections 1902(g) and 1902(a)(25) [42 U.S.C.A. 1396a(g) and 1396a(a)(25)]
- § 6:5 Failure by an Intermediate Care Facility for the Mentally Retarded to Comply with Medicaid Conditions for Participation—Section 1902(i) [42 U.S.C.A. 1396a(i)]
- § 6:6 Overcharging Medicaid Eligibles Who Are Qualified Medicare Beneficiaries—Section 1902(n)(3) [42 U.S.C.A. 1396a(n)(3)]
- § 6:7 Providing Medicaid Exclusions for the Same Grounds as Medicare Exclusions—Section 1902(p)(1) [42 U.S.C.A. 1396a(p)(1)]
- § 6:8 Excluding Health Maintenance Organizations and Other Entities Authorized to Implement Primary Care Case Management or Specialty Physician Services—Section 1902(p)(2) [42 U.S.C.A. 1396a(p)(2)]
- § 6:9 Terminations of Medicaid Certification of and Intermediate Sanctions for Psychiatric Hospitals—Section 1902(y) [42 U.S.C.A. 1396a(y)]
- § 6:10 Failure by Health Maintenance Organizations to Comply with Medicaid Requirements—Section 1903(m)(5) [42 U.S.C.A. 1396b(m)(5)]
- § 6:11 Failure by States to Meet Medicaid Plan Requirements—Section 1904 [42 U.S.C.A. 1396c]

- § 6:12 Cancelling Certification and Approval of Skilled Nursing Facilities, Intermediate Care Facilities, and Intermediate Care Facilities for the Mentally Retarded—Section 1910 [42 U.S.C.A. 1396i]
- § 6:13 Disapproving Rural Health Clinic Applications for Certification—Section 1910(a) [42 U.S.C.A. 1396i(a)]
- § 6:14 Requiring States to Withhold Medicaid Underpayments to Offset Medicare Overpayments—Section 1914 [42 U.S.C.A. 1396m]
- § 6:15 Failure by Nursing Facilities to Comply with Medicaid Requirements for Resident Assessments—Section 1919(b) [42 U.S.C.A. 1396r(b)]
- § 6:16 Abuse or Neglect of Nursing Facility Residents or Misappropriation of Their Property—Section 1919(g)(1)(C) [42 U.S.C.A. 1396r(g)(1)(C)]
- § 6:17 Giving Nursing Facilities Advance Notice of a Survey—Section 1919(g)(2)(A)(i) [42 U.S.C.A. 1396r(g)(2)(A)(i)]
- § 6:18 Failing a Nursing Facility Survey—Section 1919(g)(5), and 1919(h) [42 U.S.C.A. 1396r(g)(5), 1396r(h)]
- § 6:19 Failure by Intermediate Care Facilities for the Mentally Retarded to Meet Federal Standards—Section 1922 [42 U.S.C.A. 1396r-3]
- § 6:20 Failure by Drug Manufacturers and Wholesalers to Comply with Medicaid Drug Rebate Requirements—Section 1927 [42 U.S.C.A. 1396s]
- § 6:21 Giving Advance Notice of a Survey to a Community Care Setting for Functionally Disabled Elderly Individuals—Section 1929(i)(3)(A) [42 U.S.C.A. 1396u(i)(3)(A)]
- § 6:22 Neglect and Abuse and Misappropriation of Property of Individuals in Home and Community Care Settings for Functionally Disabled Elderly Individuals—Section 1929(i)(5) [42 U.S.C.A. 1396u(i)(5)]
- § 6:23 Disclosure of Inspection Reports and Activities Related to Home and Community Care Settings for Functionally Disabled Elderly Individuals—Section 1929(i)(6) [42 U.S.C.A. 1396u(i)(6)]
- § 6:24 Failure by Home and Community Care Settings for Functionally Disabled Elderly Individuals to Comply with Medicaid Requirements—Section 1929(j) [42 U.S.C.A. 1396u(j)]
- § 6:25 Failure by Providers of Community Supported Living Arrangements Services to Comply with Statutory Requirements—Section 1930(h)(2) [42 U.S.C.A. 1396v(h)(2)]
- § 6:26 Failure by Medicaid Managed Care Organizations to Comply with Fraud and Abuse Protection Requirements—Sections 1932(d) and (e) [42 U.S.C.A. 1396u-2(e)]
- § 6:27 Termination of Medicaid Contracts with Managed Care Entities—Section 1932(e)(4) [42 U.S.C.A. 1396u-2(e)(4)]
- § 6:28 Termination of Medicaid Pace Provider Agreements—Section 1934(e)(5) [42 U.S.C.A. 1396u-4(e)(5)]
- § 6:29 Intermediate Sanctions for Medicaid Pace Providers—Section 1934(e)(6)(B) [42 U.S.C.A. 1396u-4(e)(6)(B)]

## CHAPTER 7. REGULATIONS: SANCTIONS IN TITLE XI

- § 7:1 Disclosure of Information in the Possession of the Secretary of Health and Human Services—Section 1106 [42 U.S.C.A. 1306]
- § 7:2 False Representations about Requirements of the Social Security Act—Section 1107(a) [42 U.S.C.A. 1307]
- § 7:3 False Representations to Elicit Information from the Secretary of Health and Human Services—Section 1107(b) [42 U.S.C.A. 1307(b)]
- § 7:4 Failure to Comply with State Health Planning Requirements—Section 1122 [42 U.S.C.A. 1320a-1]
- § 7:5 Failure to Comply with Subpoenas Issued by the Comptroller General—Section 1125(b) [42 U.S.C.A. 1320a-4(b)]
- § 7:6 Exclusion from Medicare and State Health Care Programs—Section 1128 [42 U.S.C.A. 1320a-6]
- § 7:7 Disclosure by Institutions, Organizations, and Agencies of Owners and Other Individuals Sanctioned or Convicted and of Certain Business Relationships—Sections 1128(b)(9) and



## TABLE OF CONTENTS

	(10), 1124, 1124A, and 1126 [42 U.S.C.A. 1320a-7(b)(9) and (10), 1320a-3, 1320a-3a, and 1320a-5]
§ 7:8	Civil Money Penalties—Section 1128A [42 U.S.C.A. 1320a-7a]
§ 7:9	Criminal Penalties: False Statements, False Representations, Concealment, Failure to Disclose, and Conversion with Respect to Benefits and Payments—Section 1128B(a) [42 U.S.C.A. 1320a-7b(a)]
§ 7:10	Criminal Penalties: Kickbacks, Bribes, and Rebates—Section 1128B(b) [42 U.S.C.A. 1320a-7b(b)]
§ 7:11	Criminal Penalties: False Statements and False Representations to Qualify for Provider Status—Section 1128B(c) [42 U.S.C.A. 1320a-7b(c)]
§ 7:12	Criminal Penalties: Excessive Medicaid Charges and Unlawful Financial Preconditions for Care in Hospitals and Nursing Facilities—Section 1128B(d) [42 U.S.C.A. 1320a-7b(d)]
§ 7:13	Criminal Penalties: Violating a Physician or Supplier Participation Agreement or a Medicare Assignment of Benefits Agreement—Section 1128B(e) [42 U.S.C.A. 1320a-7b(e)]
§ 7:14	Failure to Report Information about Final Adverse Actions Against Health Care Providers, Suppliers, and Practitioners to the National Health Care Fraud and Abuse Data Collection Program—Section 1128E(b)(6) [42 U.S.C.A. 1320a-7e(b)(6)]
§ 7:15	Failure to Comply with Requirements to Report Physician Ownership and Investment Interests and Requirements for Transparency Reports—Section 1128G [42 U.S.C.A. 1320a-7h]
§ 7:16	Failure to Comply with Accountability Requirements for Medicaid Nursing Facilities and Medicare Skilled Nursing Facilities—Section 1128I [42 U.S.C.A. 1320a-7(j)]
§ 7:17	Failure to Timely Report and Return Overpayments and to Comply with Medicare and Medicaid Program Integrity Provisions—Section 1128j [42 U.S.C.A. 1320a-7(k)]
§ 7:18	Failure by Health Benefits Plans and Pharmacy Benefit Managers to Timely Provide Required Information—Section 1150A [42 U.S.C.A. 1320b-23]
§ 7:19	Failure to Report Crimes Occurring in Federally-funded Long Term Care Facilities—Section 1150B [42 U.S.C.A. 1320b-24]
§ 7:20	Misuse of Federal Government Names, Symbols, and Emblems—Section 1140 [42 U.S.C.A. 1320b-10]
§ 7:21	Violating Reporting and Disclosure Obligations Regarding the Medicare and Medicaid Coverage Data Bank—Section 1144 [42 U.S.C.A. 1320b-14]
§ 7:22	Public Access to Information about Hospital Financial Interests in Entities to Which Referrals of Patients Are Made—Sections 1146 and 1866(a)(1)(S) [42 U.S.C.A. 1320b-16 and 1395cc(a)(1)(S)]
§ 7:23	Terminating Contracts with Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1153 [42 U.S.C.A. 1320c-2]
§ 7:24	Disallowance of Medicare Claims by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1154 [42 U.S.C.A. 1320c-3]
§ 7:25	Sanctions Recommended by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1156 [42 U.S.C.A. 1320c-5]
§ 7:26	Unlawful Disclosure of Information Obtained by Quality Improvement Organizations [Formerly Peer Review Organizations]—Section 1160 [42 U.S.C.A. 1320c-9]
§ 7:27	Disqualification of Physicians From Giving Second Opinions About Surgery—Section 1164(b)(4)(D) [42 U.S.C.A. 1320c-3(b)(4)(D)]

# Table of Contents

## Part III APPENDIXES

### Appendix A. Safe Harbor Regulations and Guidance for Advisory Opinions

- Appendix A1. Initial Safe Harbor Regulations, July 29, 1991
- Appendix A2. Additional Safe Harbor Regulations, November 5, 1992
- Appendix A3. Additional Safe Harbor Provisions under the OIG Anti-Kickback Statute, September 21, 1993
- Appendix A4. Clarification of the OIG Safe Harbor Anti-Kickback Provisions, July 21, 1994
- Appendix A5. New Safe Harbor for Protecting Health Plans, January 25, 1996
- Appendix A6. Solicitations of New Safe Harbors and Modifications to Existing Safe Harbors
- Appendix A7. Medicare and State Health Care Programs: Fraud and Abuse; Safe Harbor Under the Anti-Kickback Statute For Waiver of Beneficiary Coinsurance and Deductible Amounts
- Appendix A8. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A9. Solicitation of New Safe Harbors and Special Fraud Alerts—Update
- Appendix A10. Safe Harbors for Certain Electronic Prescribing and Electronic Health Records Arrangements Under the Anti-Kickback Statute
- Appendix A11. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A12. OIG Notice, Health Care Programs, Fraud and Abuse; Intent to Form the Negotiated Rulemaking Committee for Shared Risk Exception
- Appendix A13. Clarification of the Initial OIG Safe Harbor Provisions and Establishment of Additional Safe Harbor Provisions Under the Anti-Kickback Statute; Final Rule
- Appendix A14. Statutory Exception to the Anti-Kickback Statute for Shared Risk Arrangements; Final Rule; 64 FR 63504, November 19, 1999
- Appendix A15. Solicitation of New Safe Harbors and Special Fraud Alerts; 64 FR 69217, December 10, 1999
- Appendix A16. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A17. Civil Money Penalty Safe Harbor to Protect Payment of Medicare Supplemental Insurance and Medigap Premiums for ESRD Beneficiaries, Proposed Rule; 65 FR 25460, May 2, 2000
- Appendix A18. Ambulance Restocking Safe Harbor Under the Anti-Kickback Statute, Proposed Rule; 65 FR 32060, May 22, 2000
- Appendix A19. Medicare and State Health Care Programs: Fraud and Abuse; Ambulance Replenishing Safe Harbor Under the Anti-Kickback Statute; 66 FR 62979, December 4, 2001
- Appendix A20. Medicare and State Health Care Programs: Fraud and Abuse; Ambulance Replenishing Safe Harbor Under the Anti-Kickback Statute; 66 FR 63749, December 10, 2001 (Corrected)
- Appendix A21. Solicitation of New Safe Harbors and Special Fraud Alerts; 66 FR 65460, December 19, 2001
- Appendix A22. Safe Harbor for Federally Qualified Health Centers Under the Anti-Kickback Statute; 70 FR 38081, July 1, 2005
- Appendix A23. Safe Harbor for Certain Electronic Prescribing Arrangements Under the Anti-Kickback Statute; 70 FR 59015, October 11, 2005
- Appendix A24. HCFA Final Rule: Medicare Program; Physicians' Referrals; Issuance of Advisory Opinions

- Appendix A25. HCFA Final Rule: Medicare and Medicaid Programs; Physicians' Referrals to Health Care Entities With Which They Have Financial Relationships
- Appendix A26. OIG Final Rule: Medicare and State Health Programs: Fraud and Abuse; Issuance of Advisory Opinions by the OIG
- Appendix A27. HCFA Proposed Rule: Medicare Program; Medicare Integrity Program, Intermediary and Carrier Functions, and Conflict of Interest Requirements
- Appendix A28. HCFA Final Rule: Medicare Programs; Incentive Programs — Fraud and Abuse
- Appendix A29. Medicare and State Health Care Programs: Fraud and Abuse; Safe Harbor for Federally Qualified Health Centers Arrangements Under the Anti-Kickback Statute; 72 FR 56632, October 4, 2007
- Appendix A30. Solicitation of New Safe Harbors and Special Fraud Alerts; 72 FR 71868, December 19, 2007
- Appendix A31. Solicitation of New Safe Harbors and Special Fraud Alerts; 75 FR 81557, December 28, 2010
- Appendix A32. Proposed Electronic Health Records Safe Harbor Under the Anti-Kickback Statute, 78 FR 21314, April 10, 2013
- Appendix A33. Solicitation of New Safe Harbors and Special Fraud Alerts, 78 FR 78807, December 27, 2013
- Appendix A34. Medicare and State Health Care Programs: Fraud and Abuse; Electronic Health Records Safe Harbor Under the Anti-Kickback Statute; 78 FR 79202, December 27, 2013
- Appendix A35. Medicare and State Health Care Programs: Fraud and Abuse; Revisions to Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements and Gainsharing; 79 FR 59717, October 3, 2014
- Appendix A36. Medicare and State Health Care Programs: Final Rule: Fraud and Abuse; Revisions to the Safe Harbors Under the Anti-Kickback Statute and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; 81 FR 88368, December 7, 2016
- Appendix A37. Fraud and Abuse; Removal of Safe Harbor Protection for Rebates Involving Prescription Pharmaceuticals and Creation of New Safe Harbor Protection for Certain Point-of-Sale Reductions in Price on Prescription Pharmaceuticals and Certain Pharmacy Benefit Manager Service Fees; 84 FR 2340, February 6, 2019
- Appendix A38. Medicare and State Healthcare Programs: Fraud and Abuse; Revisions To Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; 84 FR 55694, October 17, 2019
- Appendix A39. Fraud and Abuse; Removal of Safe Harbor Protection for Rebates Involving Prescription Pharmaceuticals and Creation of New Safe Harbor Protection for Certain Point-of-Sale Reductions in Price on Prescription Pharmaceuticals and Certain Pharmacy Benefit Manager Service Fees; A Rule by the Health and Human Services Department on 11/30/2020; 85 FR 76666, November 30, 2020
- Appendix A40. Medicare and State Health Care Programs: Fraud and Abuse; Revisions to Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; A Rule by the Health and Human Services Department on 12/02/2020; 85 FR 77684, December 2, 2020
- Appendix A41. HHS Office of Inspector General Fact Sheet: Final Rule: Revisions to the Safe Harbors Under the Anti-Kickback Statute and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; November 2020
- Appendix A42. OIG Annual Inflation Updates to the Annual Cap on Patient Engagement Tools and Supports Under 42 CFR § 1001.952(hh)

## **Appendix B. Inspector General Fraud Alerts, Bulletins, and Open Letters**

- Appendix B1. Publication of OIG Special Fraud Alerts, December 19, 1994

## TABLE OF CONTENTS

Appendix B2.	New Fraud Alert for Home Health Fraud, and Fraud and Abuse in the Provision of Medical Supplies to Nursing Facilities, August 10, 1995
Appendix B3.	Inspector General Publication of the Medicare Advisory Bulletin on Hospice Benefits, November 2, 1995
Appendix B4.	Inspector General Publication of OIG Special Fraud Alert: Fraud and Abuse in the Provision of Services in Nursing Facilities, June 17, 1996
Appendix B5.	Inspector General Publication of OIG Notice: Publication of the Medicare Beneficiary Advisory Bulletin on HMO Arrangements
Appendix B6.	OIG Notice of Intent to Develop Regulations: Solicitation of New Safe Harbors and Special Fraud Alerts
Appendix B7.	OIG Notice: Publication of OIG Special Fraud Alert: Fraud and Abuse in Nursing Home Arrangements With Hospices
Appendix B8.	OIG News Release and Related OIG Provider Self-Disclosure Protocol
Appendix B9.	Special Advisory Bulletin on the Patient Anti-Dumping Statute; 64 FR 61353, November 10, 1999
Appendix B10.	OIG Notice: Publication of OIG Special Fraud Alert on Physician Liability for Certification in the Provision of Medical Equipment and Supplies and Home Health Services
Appendix B11.	Special Advisory Bulletin on Gainsharing Arrangements and CMP's for Hospital Payments to Physicians to Reduce or Limit Services to Beneficiaries; 64 FR 37985, July 14, 1999
Appendix B12.	Special Advisory Bulletin on the Effect of Exclusion from Participation in Federal Health Care Programs; 64 FR 52791, September 30, 1999
Appendix B13.	OIG Special Fraud Alert on Rental of Space in Physician Offices by Persons or Entities to Which Physicians Refer; 65 FR 9274, February 24, 2000
Appendix B14.	OIG Special Advisory Bulletin: Practice of Business Consultants
Appendix B15.	Publication of OIG Special Advisory Bulletin on Practices of Business Consultants; 66 FR 36583, July 12, 2001
Appendix B16.	Publication of OIG Special Advisory Bulletin on Offering Gifts and Other Inducements to Beneficiaries; 67 FR 55855, August 30, 2002
Appendix B17.	Publication of OIG Special Advisory Bulletin on Offering Gifts and Other Inducements to Beneficiaries, Correction; 67 FR 57063, September 6, 2002
Appendix B18.	Publication of OIG Special Fraud Alert on Telemarketing by Durable Medical Equipment Suppliers; 68 FR 10254, March 4, 2003
Appendix B19.	Publication of OIG Special Fraud Alert on Telemarketing by Durable Medical Equipment Suppliers, Correction; 68 FR 11403, March 10, 2003
Appendix B20.	Publication of OIG Special Advisory Bulletin on Contractual Joint Ventures
Appendix B21.	OIG Special Advisory Bulletin on Patient Assistance Programs for Medicare Part D Enrollees; 70 FR 70623, November 22, 2005
Appendix B22.	Publication of OIG's Guidelines for Evaluating State False Claims Acts
Appendix B23.	Response to Request for Guidance Regarding Certain Physician Investments in the Medical Device Industries
Appendix B24.	Updated Special Fraud Alert: Telemarketing by Durable Medical Equipment Suppliers
Appendix B25.	An Open Letter to Health Care Providers, February 1997
Appendix B26.	An Open Letter to Health Care Providers, March 2000
Appendix B27.	An Open Letter to Health Care Providers, November 2001
Appendix B28.	An Open Letter to Health Care Providers, April 2006

- Appendix B29. An Open Letter to Health Care Providers, March 2009
- Appendix B30. Special Advisory Bulletin: Average Manufacturer Price and Average Sales Price Reporting Requirements
- Appendix B31. Solicitation of New Safe Harbors and Special Fraud Alerts; 75 FR 81557, December 28, 2010
- Appendix B32. OIG Alerts Physicians to Exercise Caution When Reassigning Their Medicare Payments
- Appendix B33. Special Fraud Alert: Physician-Owned Entities, March 26, 2013
- Appendix B34. Special Fraud Alert: Laboratory Payments to Referring Physicians, June 25, 2014
- Appendix B35. Special Advisory Bulletin: Pharmaceutical Manufacturer Copayment Coupons, September 2014
- Appendix B36. OIG Policy Statement Regarding Hospitals That Discount or Waive Amounts Owed by Medicare Beneficiaries for Self-Administered Drugs Dispensed in Outpatient Settings, October 29, 2015
- Appendix B37. OIG Alert: Improper Arrangements and Conduct Involving Home Health Agencies and Physicians, June 22, 2016
- Appendix B38. Updated Special Advisory Bulletin on the Effect of Exclusion from Participation in Federal Health Care Programs; Special Advisory Bulletin, May 8, 2013
- Appendix B39. Recommended Preliminary Questions and Supplementary Information for Addressing Requests for OIG Advisory Opinions in Accordance with Section 1128D of the Social Security Act and 42 CFR Part 1008, August 30, 2016
- Appendix B40. Special Fraud Alert: Speaker Programs
- Appendix B41. OIG Enforcement Policy Statement Regarding OIG's Assessment of Advisory Opinion Requests, January 6, 2022
- Appendix B42. Special Fraud Alert: OIG Alerts Practitioners to Exercise Caution When Entering Into Arrangements with Purported Telemedicine Companies (July 20, 2022)
- Appendix B43. HHS Fraud Alert: Scammers Steal Money From the Public Through Fake HHS Websites and Social Media Schemes, February 24, 2023
- Appendix B44. HHS Consumer Alert: Fraud Schemes Targeting Native American Communities in Behavioral Health Treatment Centers, May 16, 2023
- Appendix B45. OIG Report on Medicare Part B Spending on Clinical Diagnostic Laboratory Tests in 2022
- Appendix B46. OIG Report: Medicare Remains Vulnerable to Fraud, Waste, and Abuse Related to Off-the-Shelf Orthotic Braces, Which May Result in Improper Payments and Impact the Health of Enrollees, Issued on 5-24-24, posted on 5-29-24, Report number: A-09-21-03019
- Appendix B47. OIG Special Fraud Alert: Suspect Payments in Marketing Arrangements Related to Medicare Advantage and Providers (12-11-24)

## PART III

### Appendixes

#### **Appendix A. Safe Harbor Regulations and Guidance for Advisory Opinions**

- Appendix A1. Initial Safe Harbor Regulations, July 29, 1991
- Appendix A2. Additional Safe Harbor Regulations, November 5, 1992
- Appendix A3. Additional Safe Harbor Provisions under the OIG Anti-Kickback Statute, September 21, 1993
- Appendix A4. Clarification of the OIG Safe Harbor Anti-Kickback Provisions, July 21, 1994
- Appendix A5. New Safe Harbor for Protecting Health Plans, January 25, 1996
- Appendix A6. Solicitations of New Safe Harbors and Modifications to Existing Safe Harbors
- Appendix A7. Medicare and State Health Care Programs: Fraud and Abuse; Safe Harbor Under the Anti-Kickback Statute For Waiver of Beneficiary Coinsurance and Deductible Amounts
- Appendix A8. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A9. Solicitation of New Safe Harbors and Special Fraud Alerts—Update
- Appendix A10. Safe Harbors for Certain Electronic Prescribing and Electronic Health Records Arrangements Under the Anti-Kickback Statute
- Appendix A11. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A12. OIG Notice, Health Care Programs, Fraud and Abuse; Intent to Form the Negotiated Rulemaking Committee for Shared Risk Exception
- Appendix A13. Clarification of the Initial OIG Safe Harbor Provisions and Establishment of Additional Safe Harbor Provisions Under the Anti-Kickback Statute; Final Rule
- Appendix A14. Statutory Exception to the Anti-Kickback Statute for Shared Risk Arrangements; Final Rule; 64 FR 63504, November 19, 1999
- Appendix A15. Solicitation of New Safe Harbors and Special Fraud Alerts; 64 FR 69217, December 10, 1999
- Appendix A16. Solicitation of New Safe Harbors and Special Fraud Alerts
- Appendix A17. Civil Money Penalty Safe Harbor to Protect Payment of Medicare Supplemental Insurance and Medigap Premiums for ESRD Beneficiaries, Proposed Rule; 65 FR 25460, May 2, 2000
- Appendix A18. Ambulance Restocking Safe Harbor Under the Anti-Kickback Statute, Proposed Rule; 65 FR 32060, May 22, 2000
- Appendix A19. Medicare and State Health Care Programs: Fraud and Abuse; Ambulance Replenishing Safe Harbor Under the Anti-Kickback Statute; 66 FR 62979, December 4, 2001
- Appendix A20. Medicare and State Health Care Programs: Fraud and Abuse; Ambulance Replenishing Safe Harbor Under the Anti-Kickback Statute; 66 FR 63749, December 10, 2001 (Corrected)
- Appendix A21. Solicitation of New Safe Harbors and Special Fraud Alerts; 66 FR 65460, December 19, 2001
- Appendix A22. Safe Harbor for Federally Qualified Health Centers Under the Anti-Kickback Statute; 70 FR 38081, July 1, 2005
- Appendix A23. Safe Harbor for Certain Electronic Prescribing Arrangements Under the Anti-Kickback Statute; 70 FR 59015, October 11, 2005

- Appendix A24. HCFA Final Rule: Medicare Program; Physicians' Referrals; Issuance of Advisory Opinions
- Appendix A25. HCFA Final Rule: Medicare and Medicaid Programs; Physicians' Referrals to Health Care Entities With Which They Have Financial Relationships
- Appendix A26. OIG Final Rule: Medicare and State Health Programs: Fraud and Abuse; Issuance of Advisory Opinions by the OIG
- Appendix A27. HCFA Proposed Rule: Medicare Program; Medicare Integrity Program, Intermediary and Carrier Functions, and Conflict of Interest Requirements
- Appendix A28. HCFA Final Rule: Medicare Programs; Incentive Programs — Fraud and Abuse
- Appendix A29. Medicare and State Health Care Programs: Fraud and Abuse; Safe Harbor for Federally Qualified Health Centers Arrangements Under the Anti-Kickback Statute; 72 FR 56632, October 4, 2007
- Appendix A30. Solicitation of New Safe Harbors and Special Fraud Alerts; 72 FR 71868, December 19, 2007
- Appendix A31. Solicitation of New Safe Harbors and Special Fraud Alerts; 75 FR 81557, December 28, 2010
- Appendix A32. Proposed Electronic Health Records Safe Harbor Under the Anti-Kickback Statute, 78 FR 21314, April 10, 2013
- Appendix A33. Solicitation of New Safe Harbors and Special Fraud Alerts, 78 FR 78807, December 27, 2013
- Appendix A34. Medicare and State Health Care Programs: Fraud and Abuse; Electronic Health Records Safe Harbor Under the Anti-Kickback Statute; 78 FR 79202, December 27, 2013
- Appendix A35. Medicare and State Health Care Programs: Fraud and Abuse; Revisions to Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements and Gainsharing; 79 FR 59717, October 3, 2014
- Appendix A36. Medicare and State Health Care Programs: Final Rule: Fraud and Abuse; Revisions to the Safe Harbors Under the Anti-Kickback Statute and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; 81 FR 88368, December 7, 2016
- Appendix A37. Fraud and Abuse; Removal of Safe Harbor Protection for Rebates Involving Prescription Pharmaceuticals and Creation of New Safe Harbor Protection for Certain Point-of-Sale Reductions in Price on Prescription Pharmaceuticals and Certain Pharmacy Benefit Manager Service Fees; 84 FR 2340, February 6, 2019
- Appendix A38. Medicare and State Healthcare Programs: Fraud and Abuse; Revisions To Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; 84 FR 55694, October 17, 2019
- Appendix A39. Fraud and Abuse; Removal of Safe Harbor Protection for Rebates Involving Prescription Pharmaceuticals and Creation of New Safe Harbor Protection for Certain Point-of-Sale Reductions in Price on Prescription Pharmaceuticals and Certain Pharmacy Benefit Manager Service Fees; A Rule by the Health and Human Services Department on 11/30/2020; 85 FR 76666, November 30, 2020
- Appendix A40. Medicare and State Health Care Programs: Fraud and Abuse; Revisions to Safe Harbors Under the Anti-Kickback Statute, and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; A Rule by the Health and Human Services Department on 12/02/2020; 85 FR 77684, December 2, 2020
- Appendix A41. HHS Office of Inspector General Fact Sheet: Final Rule: Revisions to the Safe Harbors Under the Anti-Kickback Statute and Civil Monetary Penalty Rules Regarding Beneficiary Inducements; November 2020
- Appendix A42. OIG Annual Inflation Updates to the Annual Cap on Patient Engagement Tools and Supports Under 42 CFR § 1001.952(hh)

## **Appendix B. Inspector General Fraud Alerts, Bulletins, and Open Letters**

- Appendix B1. Publication of OIG Special Fraud Alerts, December 19, 1994

Appendix B2.	New Fraud Alert for Home Health Fraud, and Fraud and Abuse in the Provision of Medical Supplies to Nursing Facilities, August 10, 1995
Appendix B3.	Inspector General Publication of the Medicare Advisory Bulletin on Hospice Benefits, November 2, 1995
Appendix B4.	Inspector General Publication of OIG Special Fraud Alert: Fraud and Abuse in the Provision of Services in Nursing Facilities, June 17, 1996
Appendix B5.	Inspector General Publication of OIG Notice: Publication of the Medicare Beneficiary Advisory Bulletin on HMO Arrangements
Appendix B6.	OIG Notice of Intent to Develop Regulations: Solicitation of New Safe Harbors and Special Fraud Alerts
Appendix B7.	OIG Notice: Publication of OIG Special Fraud Alert: Fraud and Abuse in Nursing Home Arrangements With Hospices
Appendix B8.	OIG News Release and Related OIG Provider Self-Disclosure Protocol
Appendix B9.	Special Advisory Bulletin on the Patient Anti-Dumping Statute; 64 FR 61353, November 10, 1999
Appendix B10.	OIG Notice: Publication of OIG Special Fraud Alert on Physician Liability for Certification in the Provision of Medical Equipment and Supplies and Home Health Services
Appendix B11.	Special Advisory Bulletin on Gainsharing Arrangements and CMP's for Hospital Payments to Physicians to Reduce or Limit Services to Beneficiaries; 64 FR 37985, July 14, 1999
Appendix B12.	Special Advisory Bulletin on the Effect of Exclusion from Participation in Federal Health Care Programs; 64 FR 52791, September 30, 1999
Appendix B13.	OIG Special Fraud Alert on Rental of Space in Physician Offices by Persons or Entities to Which Physicians Refer; 65 FR 9274, February 24, 2000
Appendix B14.	OIG Special Advisory Bulletin: Practice of Business Consultants
Appendix B15.	Publication of OIG Special Advisory Bulletin on Practices of Business Consultants; 66 FR 36583, July 12, 2001
Appendix B16.	Publication of OIG Special Advisory Bulletin on Offering Gifts and Other Inducements to Beneficiaries; 67 FR 55855, August 30, 2002
Appendix B17.	Publication of OIG Special Advisory Bulletin on Offering Gifts and Other Inducements to Beneficiaries, Correction; 67 FR 57063, September 6, 2002
Appendix B18.	Publication of OIG Special Fraud Alert on Telemarketing by Durable Medical Equipment Suppliers; 68 FR 10254, March 4, 2003
Appendix B19.	Publication of OIG Special Fraud Alert on Telemarketing by Durable Medical Equipment Suppliers, Correction; 68 FR 11403, March 10, 2003
Appendix B20.	Publication of OIG Special Advisory Bulletin on Contractual Joint Ventures
Appendix B21.	OIG Special Advisory Bulletin on Patient Assistance Programs for Medicare Part D Enrollees; 70 FR 70623, November 22, 2005
Appendix B22.	Publication of OIG's Guidelines for Evaluating State False Claims Acts
Appendix B23.	Response to Request for Guidance Regarding Certain Physician Investments in the Medical Device Industries
Appendix B24.	Updated Special Fraud Alert: Telemarketing by Durable Medical Equipment Suppliers
Appendix B25.	An Open Letter to Health Care Providers, February 1997
Appendix B26.	An Open Letter to Health Care Providers, March 2000
Appendix B27.	An Open Letter to Health Care Providers, November 2001
Appendix B28.	An Open Letter to Health Care Providers, April 2006
Appendix B29.	An Open Letter to Health Care Providers, March 2009



- Appendix B30. Special Advisory Bulletin: Average Manufacturer Price and Average Sales Price Reporting Requirements
- Appendix B31. Solicitation of New Safe Harbors and Special Fraud Alerts; 75 FR 81557, December 28, 2010
- Appendix B32. OIG Alerts Physicians to Exercise Caution When Reassigning Their Medicare Payments
- Appendix B33. Special Fraud Alert: Physician-Owned Entities, March 26, 2013
- Appendix B34. Special Fraud Alert: Laboratory Payments to Referring Physicians, June 25, 2014
- Appendix B35. Special Advisory Bulletin: Pharmaceutical Manufacturer Copayment Coupons, September 2014
- Appendix B36. OIG Policy Statement Regarding Hospitals That Discount or Waive Amounts Owed by Medicare Beneficiaries for Self-Administered Drugs Dispensed in Outpatient Settings, October 29, 2015
- Appendix B37. OIG Alert: Improper Arrangements and Conduct Involving Home Health Agencies and Physicians, June 22, 2016
- Appendix B38. Updated Special Advisory Bulletin on the Effect of Exclusion from Participation in Federal Health Care Programs; Special Advisory Bulletin, May 8, 2013
- Appendix B39. Recommended Preliminary Questions and Supplementary Information for Addressing Requests for OIG Advisory Opinions in Accordance with Section 1128D of the Social Security Act and 42 CFR Part 1008, August 30, 2016
- Appendix B40. Special Fraud Alert: Speaker Programs
- Appendix B41. OIG Enforcement Policy Statement Regarding OIG's Assessment of Advisory Opinion Requests, January 6, 2022
- Appendix B42. Special Fraud Alert: OIG Alerts Practitioners to Exercise Caution When Entering Into Arrangements with Purported Telemedicine Companies (July 20, 2022)
- Appendix B43. HHS Fraud Alert: Scammers Steal Money From the Public Through Fake HHS Websites and Social Media Schemes, February 24, 2023
- Appendix B44. HHS Consumer Alert: Fraud Schemes Targeting Native American Communities in Behavioral Health Treatment Centers, May 16, 2023
- Appendix B45. OIG Report on Medicare Part B Spending on Clinical Diagnostic Laboratory Tests in 2022
- Appendix B46. OIG Report: Medicare Remains Vulnerable to Fraud, Waste, and Abuse Related to Off-the-Shelf Orthotic Braces, Which May Result in Improper Payments and Impact the Health of Enrollees, Issued on 5-24-24, posted on 5-29-24, Report number: A-09-21-03019
- Appendix B47. OIG Special Fraud Alert: Suspect Payments in Marketing Arrangements Related to Medicare Advantage and Providers (12-11-24)

# Table of Contents

## Part III APPENDIXES (CONTINUED)

### Appendix C. Compliance Guides

- Appendix C1.     OIG Notice: Publication of OIG Compliance Program Guidance for Clinical Laboratories
- Appendix C2.     OIG Notice: Publication of the OIG Compliance Program Guidance for Hospitals
- Appendix C3.     OIG Notice: Publication of the OIG Compliance Program Guidance for Home Health Agencies
- Appendix C4.     OIG Notice: Publication of the OIG Compliance Program Guidance for Third-Party Medical Billing Companies
- Appendix C5.     Compliance Program Guidance for the Durable Medical Equipment, Prosthetics, Orthotics and Supply Industry; 64 FR 36368, July 16, 1999
- Appendix C6.     Compliance Program Guidance for Hospices; 64 FR 54031, October 5, 1999
- Appendix C7.     Compliance Program Guidance for Medicare+Choice Organizations Offering Coordinated Care Plans; 64 FR 61893, November 15, 1999
- Appendix C8.     Compliance Program Guidance for Nursing Facilities; 65 FR 14289, March 16, 2000
- Appendix C9.     Compliance Program Guidance for Individual and Small Group Physician Practices; 65 FR 59434, October 5, 2000
- Appendix C10.    Solicitation of Information and Recommendations for Developing a Compliance Risk Guidance for the Ambulance Industry
- Appendix C11.    Draft OIG Compliance Program Guidance for Ambulance Suppliers
- Appendix C12.    Solicitation of Information and Recommendations for Revising the Compliance Program Guidance for the Hospital Industry
- Appendix C13.    Draft OIG Compliance Program Guidance for Pharmaceutical Manufacturers
- Appendix C14.    OIG Compliance Program Guidance for Ambulance Suppliers
- Appendix C15.    OIG Compliance Program Guidance for Pharmaceutical Manufacturers
- Appendix C16.    Solicitation of Information and Recommendations for Developing Compliance Program Guidance for Recipients of NIH Research Grants
- Appendix C17.    OIG Draft Supplemental Compliance Program Guidance for Hospitals
- Appendix C18.    OIG Supplemental Compliance Program Guidance for Hospitals
- Appendix C19.    OIG Compliance Program Guidance for Recipients of PHS Research Awards; 70 FR 71312, November 28, 2005
- Appendix C20.    Solicitation of Information and Recommendations for Revising the Compliance Program Guidance for Nursing Facilities
- Appendix C21.    Draft OIG Supplemental Compliance Program Guidance for Nursing Facilities
- Appendix C22.    OIG Supplemental Compliance Program Guidance for Nursing Facilities; 73 FR 56832-02, September 30, 2008
- Appendix C23.    Practical Guidance for Health Care Governing Boards on Compliance Oversight, April 20, 2015
- Appendix C24.    OIG Guidance on IRO Independence and Objectivity
- Appendix C25.    Office of Inspector General Policy Statement Regarding Gifts of Nominal Value to Medicare and Medicaid Beneficiaries, December 7, 2016
- Appendix C26.    Measuring Compliance Program Effectiveness: A Resource Guide, Issue Date: March 27, 2017

- Appendix C27. A Roadmap for New Physicians: Avoiding Medicare and Medicaid Fraud and Abuse
- Appendix C28. Guidance for Submitting a Contractor Self-Disclosure
- Appendix C29. HHS OIG Grant Self-Disclosure Program June 2019
- Appendix C30. HHS OIG Grant Self-Disclosure Submission Form
- Appendix C31. Criteria for Implementing Section 1128(b)(7) Exclusion Authority April 18, 2016
- Appendix C32. Notice of Waiver of Certain Fraud and Abuse Laws in Connection With the Part D Payment Modernization Model, November 15, 2019
- Appendix C33. Notice of Amended Waivers of Certain Fraud and Abuse Laws in Connection With the Bundled Payments for Care Improvement Advanced Model, January 1, 2020, December 13, 2019
- Appendix C34. The Office of Inspector General Exclusion Program July 17, 2019
- Appendix C35. HHS Toolkit for Calculating Opioid Levels and Identifying Patients At Risk of Misuse or Overdose: R and SQL Programming Code
- Appendix C36. OIG's Health Care Fraud Self-Disclosure Protocol (updated November 8, 2021)
- Appendix C37. OIG Criteria for implementing section 1128(b)(7) exclusion authority (April 18, 2016)
- Appendix C38. OIG Report: CMS's Oversight of Medicare Payments for the Highest Paid Molecular Pathology Genetic Test Was Not Adequate To Reduce the Risk of up to \$888 Million in Improper Payments, June 1, 2023, A-09-22-03010
- Appendix C39. CMS Nationwide Audits of Medicare Part C High-Risk Diagnosis Codes, June 2023
- Appendix C40. OIG Nursing Facility Industry Segment-Specific Compliance Program Guidance
- Appendix C41. HHS-OIG Desk Reviews—Identifying Common Quality Deficiencies Found in Single Audit Reports—February 2024
- Appendix C42. HHS-OIG Quality Control Reviews—Identifying Common Quality Deficiencies Found in Single Audits Reports—February 2024
- Appendix C43. OIG Medicaid Fraud Control Units Annual Report: Fiscal Year 2024 (March 2025)
- Appendix C44. OIG 2024 Performance Data for the Senior Medicare Patrol Projects (June 2025)
- Appendix C45. Medicare Payments for Evaluation and Management Services Provided on the Same Day as Eye Injections Were at Risk for Noncompliance With Medicare Requirements (May 2025)

#### **Appendix D. Advisory Opinions under the Stark Bill**

- Appendix D1. Advisory Opinion No. HCFA-AO-98-001, October 1998
- Appendix D2. Advisory Opinion No. HCFA-AO-98-002, November 1998

#### **Appendix E. Selected Recent Advisory Opinions**

- Appendix E1. Advisory Opinion 20-01, January 13, 2020
- Appendix E2. Advisory Opinion 20-02, January 22, 2020
- Appendix E3. Modification of Advisory Opinion 20-02, June 1, 2022
- Appendix E4. Advisory Opinion 20-03, July 1, 2020
- Appendix E5. Advisory Opinion 20-04, July 24, 2020
- Appendix E6. Advisory Opinion 20-05, September 23, 2020
- Appendix E7. Advisory Opinion 20-06, December 23, 2020
- Appendix E8. Advisory Opinion 20-07, December 28, 2020
- Appendix E9. Advisory Opinion 20-08, December 30, 2020
- Appendix E10. Advisory Opinion 20-09, December 31, 2020
- Appendix E11. Advisory Opinion 21-01, March 23, 2021
- Appendix E12. Advisory Opinion 21-02, April 29, 2021

## TABLE OF CONTENTS

Appendix E13.	Advisory Opinion 21-03, May 17, 2021
Appendix E14.	Advisory Opinion 21-04, May 19, 2021
Appendix E15.	Advisory Opinion 21-05, May 20, 2021
Appendix E16.	Advisory Opinion 21-06, June 29, 2021
Appendix E17.	Advisory Opinion 21-07, July 7, 2021
Appendix E18.	Advisory Opinion 21-08, July 8, 2021
Appendix E19.	Advisory Opinion 21-09, July 19, 2021
Appendix E20.	Advisory Opinion 21-10, August 6, 2021
Appendix E21.	Advisory Opinion 21-11, August 19, 2021
Appendix E22.	Advisory Opinion 21-12, September 15, 2021
Appendix E23.	Advisory Opinion 21-13, October 4, 2021
Appendix E24.	Modification of Advisory Opinion Advisory Opinion 21-13
Appendix E25.	Advisory Opinion 21-14, October 5, 2021
Appendix E26.	Advisory Opinion 21-15, November 10, 2021
Appendix E27.	Advisory Opinion 21-16, November 16, 2021
Appendix E28.	Advisory Opinion 21-17, November 19, 2021
Appendix E29.	Advisory Opinion 21-18, November 22, 2021
Appendix E30.	Advisory Opinion 21-19, December 6, 2021
Appendix E31.	Advisory Opinion 21-20, December 16, 2021
Appendix E32.	Advisory Opinion 22-01, January 19, 2022
Appendix E33.	Advisory Opinion 22-02, February 9, 2022
Appendix E34.	Advisory Opinion 22-03, February 14, 2022
Appendix E35.	Advisory Opinion 22-04, March 2, 2022
Appendix E36.	Advisory Opinion 22-05, March 16, 2022
Appendix E37.	Advisory Opinion 22-06, April 11, 2022
Appendix E38.	Advisory Opinion 22-07, April 25, 2022
Appendix E39.	Advisory Opinion 22-08, April 27, 2022
Appendix E40.	Advisory Opinion 22-09, April 28, 2022
Appendix E41.	Advisory Opinion 22-10, May 2, 2022
Appendix E42.	Advisory Opinion 22-11, May 25, 2022
Appendix E43.	Advisory Opinion 22-12, June 1, 2022
Appendix E44.	Advisory Opinion 22-13, June 23, 2022
Appendix E45.	Advisory Opinion 22-14, June 29, 2022
Appendix E46.	Advisory Opinion 22-15, July 5, 2022
Appendix E47.	Advisory Opinion 22-16, August 19, 2022
Appendix E48.	Advisory Opinion 22-17, September 6, 2022
Appendix E49.	Advisory Opinion 22-18, September 20, 2022
Appendix E50.	Advisory Opinion 22-19, October 5, 2022
Appendix E51.	Advisory Opinion 22-20, December 19, 2022
Appendix E52.	Advisory Opinion 22-21, December 23, 2022
Appendix E53.	Advisory Opinion 22-22, December 28, 2022
Appendix E54.	Advisory Opinion 23-01, February 23, 2023
Appendix E55.	Advisory Opinion 23-02, February 28, 2023

Appendix E56.	Advisory Opinion 23-03, March 29, 2023
Appendix E57.	Advisory Opinion 20-04, Issued with Modifications Posted July 24, 2020; Last updated April 24, 2023
Appendix E58.	Advisory Opinion 23-04
Appendix E59.	Advisory Opinion 23-05
Appendix E60.	Advisory Opinion 23-06
Appendix E61.	Advisory Opinion 23-07
Appendix E62.	Advisory Opinion 23-08
Appendix E63.	Advisory Opinion 23-09
Appendix E64.	Advisory Opinion 23-10
Appendix E65.	Advisory Opinion 23-11
Appendix E66.	Advisory Opinion 23-12
Appendix E67.	Advisory Opinion 23-13
Appendix E68.	Advisory Opinion 23-14
Appendix E69.	Advisory Opinion 23-15
Appendix E70.	Advisory Opinion 24-01
Appendix E71.	Advisory Opinion 24-02
Appendix E72.	Advisory Opinion 24-03
Appendix E73.	Advisory Opinion 24-04
Appendix E74.	Advisory Opinion 24-05
Appendix E75.	Advisory Opinion 24-06
Appendix E76.	Advisory Opinion 24-07
Appendix E77.	Advisory Opinion 24-08
Appendix E78.	Advisory Opinion 24-09
Appendix E79.	Advisory Opinion 24-10
Appendix E80.	Advisory Opinion 24-11
Appendix E81.	Advisory Opinion 24-12
Appendix E82.	Advisory Opinion 24-13
Appendix E83.	Advisory Opinion 25-01
Appendix E84.	Advisory Opinion 25-02
Appendix E85.	Advisory Opinion 25-03
Appendix E86.	Advisory Opinion 25-04
Appendix E87.	Advisory Opinion 25-05
Appendix E88.	Advisory Opinion 25-06
Appendix E89.	Advisory Opinion 25-07
Appendix E90.	Advisory Opinion 25-08

# Table of Contents

## Part III APPENDIXES (CONTINUED)

### **Appendix F. Selected Recent OIG Negotiated Corporate Integrity Agreements (CIAs) with Health Care Providers and Other Entities as Part of the Settlement of Federal Health Care Program Investigations**

Appendix F1.	Agendia, Inc., Irvine, CA, January 13, 2021
Appendix F2.	Michigan Physicians Group, P.C. and Dinesh Shah, M.D., Berkley, MI, February 11, 2021
Appendix F3.	Life Spine, Inc., Huntley, IL, March 17, 2021
Appendix F4.	UCI Medical Affiliates of South Carolina, Inc. and Doctors Care, P.A., Columbia, SC, April 6, 2021
Appendix F5.	Hanora Medical Center, P.L.L.C. and Benjamin C. Udoh, M.D., Fayetteville, NC, April 23, 2021
Appendix F6.	University of Miami, May 7, 2021
Appendix F7.	eClinicalWorks, LLC, Westborough, MA, Amendment, May 7, 2021
Appendix F8.	SavaSeniorCare, LLC and SavaSeniorCare Administrative and Consulting, LLC, Sandy Springs, GA, May 21, 2021
Appendix F9.	Gyarteng-Dakwa, Kwadwo and the HEAG Pain Management Center, PA, Greensboro, NC, May 25, 2021
Appendix F10.	Alliance Parent, Inc., Irving, TX, July 8, 2021
Appendix F11.	The County of San Mateo and San Mateo Medical Center, San Mateo, CA, July 29, 2021
Appendix F12.	Azinheira, Lisa and L.A. Vision, LLC, Hartford, CT, August 6, 2021
Appendix F13.	Sutter Health, Sutter Bay Medical Foundation, and Sutter Valley Medical Foundation, Roseville, CA, August 30, 2021
Appendix F14.	Align Health and Holistic Medical Center, Inc; Align Health Management, Inc.; Eric Anderson, P.A. dba Anderson Chiropractic Clinic; Eric Anderson, D.C.; and Hilary Anderson, Maryville, TN, September 7, 2021
Appendix F15.	Pal, M.D., Ashish and Interventional Cardiology and Vascular Consultants, PLC, Orlando, FL, September 7, 2021
Appendix F16.	Apotex Corp., Weston, FL, September 30, 2021
Appendix F17.	Olive Street Pharmacy, LLC, Creve Coeur, MO, September 30, 2021
Appendix F18.	Sandoz Inc., Princeton, NJ, September 30, 2021
Appendix F19.	Taro Pharmaceuticals U.S.A., Inc., Hawthorne, NY, September 30, 2021
Appendix F20.	MD Spine Solutions LLC, D/B/A MD Labs Inc., Denis Grizelj and Matthew Rutledge, Reno, NV, October 19, 2021
Appendix F21.	Arthrex, Inc., Naples, FL, November 8, 2021
Appendix F22.	Flower Mound Hospital Partners, LLC D/B/A Texas Health Presbyterian Hospital Flower Mound, Flower Mound, TX, November 30, 2021
Appendix F23.	Poonia, MD, Amit; New Jersey Interventional Pain Management Center, PC; Advanced Interventional Pain Management Center, LLC; Global Anesthesia Group, LLC; Springfield Surgery Center, LLC; Park Avenue Surgery Center, LLC and Endo Surgi Center of Old Bridge, LLC, Edison, NJ, December 3, 2021
Appendix F24.	Princeton Pathology Services, P.A., Newtown, PA, December 7, 2021

- Appendix F25. Phan, RPH, Bachthu (Theresa) and Lan Apothecary, Inc., Philadelphia, PA, December 10, 2021
- Appendix F26. Bellamah, M.D., David and Bellamah Vein and Surgery, PLLC, DBA Bellamah Vein Center, Missoula, MT, December 14, 2021
- Appendix F27. Lipshutz and Wills Medical Group, LLP D/B/A Monos Health, Jeremy M. Lipshutz, M.D., Ltd., 215 Surgery Center, LLC, and Dr. Jeremy Lipshutz, Henderson, NV, December 28, 2021
- Appendix F28. Wills, PC, Heath, Dr. Heath Wills, and Bandar Enterprises, LLC, Las Vegas, NV, December 28, 2021
- Appendix F29. Gaynor, DPM, Robert and Foot Care Store, Inc. d/b/a Dia-Foot, Wellington, FL, December 30, 2021
- Appendix F30. Cardinal Health 108, LLC, Dublin, OH, January 21, 2022
- Appendix F31. Escandon, M.D, P.A., Jose A. D/B/A Escandon Diagnostic Clinic and Dr. Jose A. Escandon, Jr., Mission, TX, February 14, 2022
- Appendix F32. Mallinckrodt plc, Hazelwood, MO, March 3, 2022
- Appendix F33. Providence Health & Services-Washington, Renton, WA, March 17, 2022

# Table of Contents

## Part III APPENDIXES (CONTINUED)

### **Appendix F. Selected Recent OIG Negotiated Corporate Integrity Agreements (CIAs) with Health Care Providers and Other Entities as Part of the Settlement of Federal Health Care Program Investigations (Continued)**

- Appendix F34. Physician Partners of America, LLC; Florida Pain Relief Group, PLLC; Texas Pain Relief Group, PLLC, Physician Partners of America CRNA Holdings, LLC; Medical Tox Labs, LLC; Medical DNA Labs, LLC; and Rodolfo Gari, M.D., Tampa, FL, March 24, 2022
- Appendix F35. Radaes LLC, Wake Forest, NC, March 30, 2022
- Appendix F36. Steward Good Samaritan Medical Center, Westwood, MA, April 8, 2022
- Appendix F37. VirtuOx, Inc., Coral Springs, FL, May 11, 2022
- Appendix F38. SNAP Diagnostics, LLC and Gil Raviv, Wheeling, IL, June 1, 2022
- Appendix F39. Solera Specialty Pharmacy, LLC and Nicholas Saraniti, Pompano Beach, FL, July 8, 2022
- Appendix F40. Eastern Iowa Dermatology, PLC and Manish G. Kumar, MD, Bettendorf, IA, July 21, 2022
- Appendix F41. Gonzaga, M.D., Melvin, Gonzaga Interventional Pain Management, and Garrett Anesthesia and Pain Management, P.A., LaVale, MD, July 22, 2022
- Appendix F42. Ventura County, Ventura, CA, August 11, 2022
- Appendix F43. Ventura County Medi-Cal Managed Care Commission, Ontario, CA, August 11, 2022
- Appendix F44. Kamali, M.D., Azizulah (Aziz) and Aziz Kamali, M.D., Inc., Stockton, CA, August 12, 2022
- Appendix F45. Phillips RS North America LLC, F/K/A Respironics, Inc., Pittsburgh, PA, August 25, 2022
- Appendix F46. Biotronik, Inc., Lake Oswego, OR, August 26, 2022
- Appendix F47. Vision Quest Industries, Incorporated, and General Orthocare, Inc., Irvine, CA, August 26, 2022
- Appendix F48. CHC Holdings, LLC D/B/A Carter Healthcare, Oklahoma City, OK, September 26, 2022
- Appendix F49. CHC-FLA, LLC, Oklahoma City, OK, September 26, 2022
- Appendix F50. Greene, M.D., Kevin P. and Feel Well Health Center of Southington, P.C., Bristol, CT, November 8, 2022
- Appendix F51. Sierra Vista Regional Medical Center and Twin Cities Community Hospital, Templeton, CA, December 5, 2022
- Appendix F52. Jasdeep Sidana, M.D., DOCS Medical Group, Inc. d/b/a DOCS Medical, DOCS Medical Inc., DOCS Urgent Care LLP, Lung Docs of CT, P.C., Epic Family Physicians, LLP, and Continuum Medical Group, LLC, East Haven, CT, December 13, 2022
- Appendix F53. Advanced Bionics LLC, Valencia, CA, December 19, 2022
- Appendix F54. BioTelemetry, Inc. and CardioNet, LLC, Malvern, PA, December 19, 2022
- Appendix F55. Pandya, M.D., Arati D. A/K/A Aarti D. Pandya, M.D. and Aarti Pandya, M.D., P.C., Conyers, GA, December 21, 2022
- Appendix F56. Hot Springs Heart and Vascular, P.A., and Dr. Jeffrey G. Tauth, Hot Springs, AR, December 28, 2022
- Appendix F57. Florida Cardiology, P.A.; Sandeep Bajaj, M.D.; Karan Reddy, M.D.; Claudio



Manubens, M.D.; Milan Kothari, M.D.; Sayeo Hussain, M.D.; Raviprasad Subraya, M.D.; Harish Patil, M.D.; Edwin Martinez, M.D., Winter Park, FL, January 6, 2023

- Appendix F58. United Seating and Mobility, LLC D/B/A Numotion, Brentwood, TN, January 31, 2023
- Appendix F59. Chung, M.D., John and Skin Cancer and Cosmetic Dermatology Center, PC, Chattanooga, TN, May 26, 2023
- Appendix F60. Saini, M.D., Dr. Hari P. and Carolina Heart and Leg Center, Fayetteville, NC, May 26, 2023
- Appendix F61. Balotin, Gregory H., Ponte Vedra Beach, FL, June 14, 2023
- Appendix F62. Rockport Healthcare Services and Riverside Healthcare & Wellness Centre DBA Alta Vista Healthcare and Wellness Center, Los Angeles, CA, June 14, 2023
- Appendix F63. Thyroid Specialty Laboratory, Inc. D/B/A Ten Healthcare, 3890 Management, LLC and Ten Marketing, LLC, Fenton, MO, July 25, 2023
- Appendix F64. Lincare Inc., Clearwater, FL, August 10, 2023
- Appendix F65. Nevels, M.D., Charles T., Tuscaloosa, AL, August 29, 2023
- Appendix F66. Gulf Region Radiation Oncology Centers, Inc. and Lowrey, Gerald, M.D., Pensacola, FL, September 12, 2013
- Appendix F67. Connex Family Services LLC and Bianca Riddle, Warrenton, VA, September 15, 2023
- Appendix F68. Arora, M.D., Arun, Locust Valley, NY, September 20, 2023
- Appendix F69. BioTek reMEDys, Inc., AZBDBR, LLC d/b/a Avasa Rx Pharmacy, Valustar Pharmacy and Gadde, Chaitanya, New Castle, DE, September 29, 2023

# Table of Contents

## Part III APPENDIXES (CONTINUED)

### **Appendix F. Selected Recent OIG Negotiated Corporate Integrity Agreements (CIAs) with Health Care Providers and Other Entities as Part of the Settlement of Federal Health Care Program Investigations (Continued)**

Appendix F70.	Cardiac Imaging, Inc. and Samuel Rao Kancherlapalli, Carlsbad, CA, September 29, 2023
Appendix F71.	The Cigna Group, Bloomfield, CT, September 29, 2023
Appendix F72.	Paksn, Inc., Aakash, Inc. D/B/A Park Central Care & Rehabilitation Center, and Prema Thekkekk, Vacaville, CA, November 9, 2023
Appendix F73.	CorePath Laboratories, PA, Houston, TX, December 18, 2023
Appendix F74.	Community Health Network, Inc., Indianapolis, IN, December 18, 2023
Appendix F75.	Edgewater Recovery Center, LLC, Morehead, KY, January 3, 2024
Appendix F76.	Columbus LTACH, LLC, d/b/a Silver Lake Hospital, Newark, NJ, January 12, 2024
Appendix F77.	Rao, M.D., Jayasree and Jayasree Rao, M.D., PA, San Antonio, TX, March 25, 2024
Appendix F78.	Renew Health Consulting Services, LLC, Crystal Solorzano and Chaim Kolodny, Monrovia, CA, April 11, 2024
Appendix F79.	RAPHA Healthcare Services, LLC and Sharon Raynes Halliday, Durham, NC, May 14, 2024
Appendix F80.	Cape Cod Hospital, West Yarmouth, MA, May 14, 2024
Appendix F81.	Bluestone Physician Services Southeast, LLC, Bluestone Physician Services, P.A., and Bluestone National, LLC, Stillwater, MN, May 29, 2024
Appendix F82.	Strauss Ventures, LLC D/B/A The Grand Healthcare System; Clearview Operating Co. LLC D/B/A The Grand Rehabilitation and Nursing at Queens; Grand Mohawk Valley LLC D/B/A The Grand Rehabilitation and Nursing at Mohawk; Barnwell Operations Associates LLC D/B/A The Grand Rehabilitation and Nursing at Barnwell; Grand South Point LLC D/B/A The Grand Rehabilitation and Nursing at South Point; Heritage Operating Associates LLC D/B/A The Grand Rehabilitation and Nursing at Utica; River Valley Operating Associates LLC D/B/A The Grand Rehabilitation and Nursing at River Valley; Chittenango Center LLC D/B/A The Grand Rehabilitation and Nursing at Chittenango; Grand Great Neck LLC D/B/A The Grand Rehabilitation and Nursing at Great Neck; Rome Center LLC D/B/A The Grand Rehabilitation and Nursing at Rome; Guilderland Operator LLC D/B/A The Grand Rehabilitation and Nursing at Guilderland; The Center for Rehabilitation and Healthcare at Dutchess, LLC D/B/A The Grand Rehabilitation and Nursing at Pawling; and Grand Batavia LLC D/B/A The Grand Rehabilitation and Nursing at Batavia, Valley Stream, NY, July 2, 2024
Appendix F83.	Vista Clinical Diagnostics, LLC; Access Dermopath, Inc.; and Advanced Clinical Laboratories, Inc., Clermont, FL, July 8, 2024
Appendix F84.	Rite Aid Corporation, Rite Aid Hdqtrs. Corp., Rite Aid of Connecticut, Inc., Rite Aid of Delaware, Inc., Rite Aid of Maryland, Inc., Rite Aid of Michigan, Inc., Rite Aid of New Hampshire, Inc., Rite Aid of New Jersey, Inc., Rite Aid of Ohio, Inc., Rite Aid of Pennsylvania, Inc., and Rite Aid of Virginia, Inc., Philadelphia, PA, July 9, 2024
Appendix F85.	Pain Center of Virginia, PLLC, and Waheed Baksh, M.D., Martinsburg, WV, July 31, 2024
Appendix F86.	Precision Toxicology, LLC D/B/A Precision Diagnostics, San Diego, CA, August 22, 2024

- Appendix F87. Daiya Healthcare and Dr. Bhupinder Walia, Bellevue, WA. October 21, 2024
- Appendix F88. Ethos Holding Corp., D/B/A Ethos Laboratories, Newport, KY, November 1, 2024
- Appendix F89. QOL Medical, LLC, and Frederick E. Cooper, Vero Beach, FL, November 1, 2024
- Appendix F90. Texas Spine and Neurosurgery Center, P.A. and Rajesh Bindal, M.D., Sugar Land, TX, November 1, 2024
- Appendix F91. Oroville Hospital, Oroville, CA, November 22, 2024
- Appendix F92. Southeastern Behavioral Healthcare Services, LLC, Lumberton, NC, November 22, 2024
- Appendix F93. McKinsey & Company, Inc. United States, Austin, TX, December 11, 2024
- Appendix F94. Independent Health Association, Buffalo, NY, December 13, 2024
- Appendix F95. Heart Clinic of Paris, P.A. and Dr. Arjumand Hashmi, Paris, TX, December 20, 2024
- Appendix F96. MMM Holdings, LLC, San Juan, PR, December 20, 2024
- Appendix F97. Physicians Toxicology Laboratory, LLC, Matthew Ryan Lund, Thomas C. Lund, and Lund Capital Group, LLC, Tampa, FL, December 30, 2024
- Appendix F98. Kabakibou, Kamal C., MD and Kamal C. Kabakibou, M.D., P.C. D/B/A The Center for Pain Management, Atlanta, GA, January 6, 2025
- Appendix F99. A&R Pharmacy Inc., United Diabetic Supply, Inc., Daniel Spivak and George Spivak, Jupiter, FL, March 24, 2025
- Appendix F100. Community Options, Inc. and Community Options of New York, Inc., Wayne, NJ, March 25, 2025
- Appendix F101. Fresno Community Hospital and Medical Center d/b/a Community Health System, Fresno, CA, May 7, 2025
- Appendix F102. American Health Foundation, Inc., American Health Foundation Management Corporation, American Health Foundation Montgomery, Inc. d/b/a Cheltenham Nursing and Rehabilitation Center, American Health Foundation Ohio, Inc. d/b/a The Sanctuary at Wilmington Place, and Samaritan Care Center and Villa, Dublin, OH, June 3, 2025
- Appendix F103. Moroun Nursing Center of Detroit LLC d/b/a Ambassador, A Villa Center, Father Murray Nursing and Rehabilitation Centre LLC d/b/a Father Murray, A Villa Center, Detroit Nursing Center LLC d/b/a Imperial, A Villa Center, Park Nursing Center of Taylor LLC d/b/a Regency, A Villa Center, Colonial Health Care Center LLC d/b/a St. Joseph's, A Villa Center, Westland Nursing and Rehabilitation Centre LLC d/b/a Westland, A Villa Center and Villa Financial Services LLC, and Villa Olympia Investment LLC, Lincolnwood, IL, June 13, 2025
- Appendix F104. Riverpark Operations, LLC and Avamere Group, LLC, Wilsonville, OR, June 30, 2025

#### **Appendix G. OIG Cases Involving Civil Monetary Penalties and Affirmative Exclusions**

- Appendix G1. 2019 Cases
- Appendix G2. 2020 Cases
- Appendix G3. 2021 cases
- Appendix G4. 2022 cases
- Appendix G5. 2023 cases
- Appendix G6. 2024 cases
- Appendix G7. 2025 cases

#### **Table of Laws and Rules**

#### **Index**