

**SECTION: 5 CHAPTER: 1500**  
**POLICY: 1502, Corporate Compliance**

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**1. PURPOSE:**

The purpose of this policy is to describe the Arizona Department of Health Services/Division of Behavioral Health Services (ADHS/DBHS) expectations of Tribal/Regional Behavioral Health Authorities (T/RBHAs) to prevent, deter, and detect fraud, waste and program abuse as well as the requirements of T/RBHAs and T/RBHA contracted providers, in reporting to the Arizona Health Care Cost Containment System (AHCCCS) Office of the Inspector General (OIG) and ADHS/DBHS Bureau of Corporate Compliance (BCC).

The ADHS/DBHS Bureau of Corporate Compliance Program incorporates the required elements listed in [42 CFR §438.608](#) including: a Corporate Compliance Plan; Corporate Compliance Officer; a Corporate Compliance Committee; effective training and education, communication, monitoring/auditing; and effective written policies and procedures.

**2. TERMS:**

Definitions for terms are located online at <http://www.azdhs.gov/bhs/definitions/index.php>. The following terms are referenced in this section:

Fraud  
Program Abuse  
Waste

**3. PROCEDURE:**

- a. The essential functions, policies, procedures, and initiatives that define an effective, robust Corporate Compliance program are found in the ADHS/DBHS [Bureau of Corporate Compliance \(BCC\) Operations and Procedures Manual](#).
- b. T/RBHAs are responsible for adhering to the policies, procedures, and initiatives found in the ADHS/DBHS BCC Operations and Procedures Manual. T/RBHAs are also accountable for all deliverables (as applicable) related to Corporate Compliance and preventing, deterring, and detecting fraud, waste, and program abuse as outlined in the ADHS/DBHS RBHA Contracts and (Tribal Behavioral Health Authority)TRBHA Intergovernmental Agreements (IGAs).
- c. Reporting of fraud, waste and program abuse - Title XIX / XXI Funds
  - i. T/RBHAs are required to report all suspected fraud, waste and/or program abuse involving any Title XIX/XXI funds to the AHCCCS Office of the Inspector General (OIG) within ten (10) business days of discovery. The methods for reporting are listed below:
    - (1) Online form: <http://www.azahcccs.gov/fraud/reporting/reporting.aspx>
    - (2) Email: [AHCCCSFraud@azahcccs.gov](mailto:AHCCCSFraud@azahcccs.gov)
    - (3) Phone: (602) 417-4193 or (602) 417-4045
    - (4) Fax: (602) 417-4102

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- ii. A copy of the referral, along with any and all supporting documentation, shall also be provided to ADHS/DBHS Bureau of Corporate Compliance using one of the methods as outlined in d.iv.
- d. Reporting of fraud, waste and program abuse - Non-Title XIX/XXI or Grant Funds
  - i. T/RBHAs are required to report all other instances of suspected fraud, waste and program abuse involving all funding sources other than Title XIX/XXI to ADHS/DBHS/BCC directly within ten (10) business days of discovery.
  - ii. Reports to ADHS/DBHS/BCC shall be completed in written format using the approved designated ADHS/DBHS/BCC reporting form: [Suspected Fraud and Program Abuse Report Form](#) .
  - iii. When reporting fraud, waste or program abuse of Non-Title XIX/XXI funds or grant funds, the report shall be submitted in a format which identifies and separates the amount(s) by each appropriate fiscal year.
  - iv. The reporting format should also identify the different funding streams for each dollar amount and whether it was a claim or an encounter. The form may be submitted directly via any of the following methods:
    - (1) Mail: Arizona Department of Health Services  
Division of Behavioral Health Services  
Bureau of Corporate Compliance  
150 North 18<sup>th</sup> Avenue, Suite 250  
Phoenix, AZ 85007
    - (2) Email: [ReportFraud@azdhs.gov](mailto:ReportFraud@azdhs.gov)
    - (3) Phone: (602) 364-3758 or 1-866-569-4927
    - (4) Fax: (602) 364-3940
- e. AHCCCS-OIG Communications
  - i. T/RBHAs shall report to ADHS/DBHS BCC, within ten (10) days of notification, any and all contact made by AHCCCS-OIG in reference to any open/closed fraud, waste and program abuse case, a voluntary self-disclosure settlement and/or any other type of fraud, waste and program abuse activity involving official communications by AHCCCS-OIG.
  - ii. ADHS/DBHS BCC shall be advised of the final disposition of any case and/or settlement agreement made between the contractor and/or provider and AHCCCS-OIG.

**4. REFERENCES:**

The following citations serve as additional resources for this content area.

- [42 CFR Part 455](#)
- [42 CFR §438.608](#)
- [ARS §36-2918.01](#)
- [AHCCCS/ADHS Contract](#)
- [ADHS/RBHA Contracts](#)
- [ADHS/TRBHA IGAs](#)

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[AHCCCS Contractor Operations Manual, Chapter 100](#)  
[ADHS/DBHS BCC Operations and Procedures Manual](#)

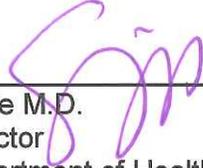
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5. APPROVED BY:

  
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