	Regulatory Compliance Policy	No.	COMP-RCC 5.09
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	LABORATORY ANNUAL NOTICE TO PHYSICIANS	Effective Date:	07-30-19
		Previous Versions Dated:	06-18-15; 06-01-11
		Corporate Review Dated:	07-18-19

I. SCOPE:

This policy applies to (1) Tenet Healthcare Corporation and its wholly-owned subsidiaries and affiliates (each, an "Affiliate"); (2) any other entity or organization in which Tenet Healthcare Corporation or an Affiliate owns a direct or indirect equity interest greater than 50%; and (3) any hospital or healthcare facility in which an Affiliate either manages or controls the day-to-day operations of the entity (each, a "Tenet Entity") (collectively, "Tenet").

II. PURPOSE:

The purpose of this policy is to establish the required elements of the laboratory Annual Notice to Physicians ("Annual Notice"). "Physicians" mean, in the context of this policy, medical doctors and any licensed independent practitioners who are authorized by state law to order tests or services and/or are legally accountable for establishing the patient's diagnosis.

III. POLICY:

Each Tenet Entity providing outpatient reference laboratory services must send an Annual Notice to Physicians and other providers such as home health agencies and skilled nursing facilities. Each Tenet Entity must send the Annual Notice to its Medical Staff as well as any other Physicians and providers who ordered outpatient laboratory services from the Tenet Entity during the most recent calendar year.

IV. PROCEDURE:

A. Tenet Entity Implementation

1. Required Elements

Each Annual Notice must include the following elements:

a. the required elements of an outpatient laboratory requisition;

b. links to (or the internet addresses for) the Medicare coverage determinations for laboratory tests;

c. a statement that organ and disease related panels will only be billed to and paid by Medicare when all components are medically necessary;

d. a link to (or the internet address for) the Medicare laboratory fee schedule, together with a statement informing the Physician and

providers that the Medicaid reimbursement amount will be equal to or less than the amount of the Medicare reimbursement;

e. the Tenet Entity's list of non-standard panels, reflex tests and protocol orders (see Regulatory Compliance Policies COMP-RCC 5.03 Laboratory Panels, COMP-RCC 5.06 Reflex Testing and COMP-RCC 5.07 Protocol Orders); and

f. the telephone number of the pathologist who serves as the clinical consultant for the Tenet Entity's laboratory, as required by the Clinical Laboratory Improvement Amendments (CLIA).

A sample Annual Notice is included as Attachment A.

2. Distribution and Record Retention

The Tenet Entity may select the most appropriate personalized distribution manner *(e.g.*, via U.S. first class mail, e-mail, facsimile). Posting the Annual Notice on a website, social media page or other location is allowed but is not by itself sufficient; distribution to each Physician and provider is required. Distribution via certified mail or registered mail is not required.

The Tenet Entity's Laboratory Director must maintain a copy of the Annual Notice and the list of Physicians and providers to whom the Annual Notice is sent. The documentation must be retained as Administration Correspondence, Compliance (code ADM2010COM) in accordance with Administrative policy AD 1.11 Records Management and its Record Retention Schedule.

B. Corporate Implementation

The Home Office Ethics and Compliance Department is responsible for coordinating the annual review of the sample Annual Notice and for publishing the review results review.

C. Auditing and Monitoring

Audit Services will audit adherence to this policy.

D. Responsible Person

The Laboratory Director is responsible for ensuring that all individuals adhere to the requirements of this policy , that these procedures are implemented and followed at the Tenet Entity, and that instances of noncompliance are reported to the Compliance Officer.

E. Enforcement

All employees whose responsibilities are affected by this policy are expected to be familiar with the basic procedures and responsibilities created by this policy. Failure to comply with this policy will be subject to appropriate performance management pursuant to all applicable policies and procedures, up to and including termination. Such performance management may also include modification of compensation, including any merit or discretionary compensation awards, as allowed by applicable law.

V. REFERENCES:

- OIG Compliance Program Guidance for Clinical Laboratories

- Administrative policy AD 1.11 Records Management and its Record Retention Schedule

- Regulatory Compliance Policy COMP-RCC 5.03 Laboratory Panels

- Regulatory Compliance Policy COMP-RCC 5.06 Reflex Testing

- Regulatory Compliance Policy COMP-RCC 5.07 Protocol Orders

VI. ATTACHMENTS:

-Attachment A: Laboratory Annual Notice Template