Have you ever wondered what a government investigation is or what it entails? Not sure what you should do if you are approached by a government investigator? It is UConn Health’s policy to cooperate fully with any lawful government investigation while protecting UConn Health’s interests in accordance with the law. UConn Health has an established protocol for responding to government investigations. As a UConn Health employee, it is important that you are aware of the protocol and know how to reference it if needed.

What is a Government Investigation?

Under certain circumstances, employees or agents of a Federal or State governmental agency may arrive unannounced at UConn Health to investigate possible violations of laws or regulations related to federal healthcare programs (e.g., Medicare and Medicaid).

Examples of such agencies include:

- Department of Health and Human Services (HHS) - Office of Inspector General (OIG)
- Centers for Medicare and Medicaid Services (CMS)
- United States Attorney’s Office (USAO)
- United States Department of Justice (DOJ)
- Federal Bureau of Investigations (FBI)
- Food and Drug Administration (FDA)
- U.S. Postal Inspectors
- Other state or federal law enforcement or regulatory agency auditing or investigating a matter pertaining to federal health care programs

What do you do if approached by a government investigator?

If you are contacted by an investigator from any of these agencies while working at a UConn Health workplace or other approved work location, you should first ask the investigator to see identification, including a business card. Next, notify your supervisor, who should immediately notify the UConn Health Office of the General Counsel (OGC) to announce the investigator is on site. If your supervisor is not available, leave a message and contact the OGC directly.
What else should you know about a government investigation?

- Never alter, erase, remove or destroy any relevant documents or relevant information while a government investigation is in process.
- Do not provide any UConn Health documents to an investigator without first obtaining approval through the OGC.
- The OGC will work with other UConn Health offices as appropriate to coordinate the provision of any records to the investigator in order to protect patient privacy rights and the attorney-client privilege.
- UConn Health’s Protocol for Responding to Government Investigations does not apply to planned or scheduled audits or reviews that are coordinated with an external agency on an occurring basis. It also does not apply to accreditation visits, licensure surveys and complaint investigations, whether scheduled or unannounced.

Resources

Click below to view UConn Health’s protocol for responding to government investigations. If you have any questions about the protocol, or other related requirements, please contact:

The Office of Healthcare Compliance and Privacy at 860.679.1014 or compliance.officer@uchc.edu
263 Farmington Ave, Farmington, CT 06030

The Office of the General Counsel at (860) 679-1114

Test Your Knowledge

Now that you've engaged with these resources, be sure to take our "test your knowledge" challenge by clicking below.

GET STARTED