

CMS Reported Settlements under Stark Self-Referral Disclosure Protocol

	Date of Settlement	Reporting Entity	Nature of Violation	Type of Practice	Violation Amount/ Overpayment	Settlement Amount	Ratio violation \$\$: settlement \$\$
1	February 10, 2011	Saints Medical Center, located in Massachusetts	Saints failed (1) to satisfy the requirements of the personal services exception for arrangements with certain hospital department chiefs and medical staff for leadership services; and (2) to satisfy the requirements of the personal services exception for arrangements with certain physician groups for on-site coverage for patients at the hospital.	Acute Care Hospital	Estimated between \$785,000 and \$14.5 million	\$579,000	Between 1.3:1 and 25:1, i.e. settled for between 74% and 4% of the violation amount
2	September 10, 2011	Ohio entity	Practice violated the physician self-referral statute in two instances by prescribing and supplying a certain type of Durable Medical Equipment that did not satisfy the requirements of the in-office ancillary services exception.	Physician Group Practice		\$60	
3	November 11, 2011	Mississippi Hospital	Hospital violated the physician self-referral statute by failing to satisfy the requirements of the personal services arrangements exception for arrangements with certain hospital and emergency room physicians.	Critical Access Hospital		\$130,000	
4	January 5, 2012	California Hospital	Hospital violated the physician self-referral statute by exceeding the calendar year non-monetary compensation limit for a physician.	Hospital		\$6,700	
5	January 5, 2012	Georgia Hospital	Hospital violated the physician self-referral statute by exceeding the calendar year non-	Hospital		\$4,500	

			monetary compensation limit for two physicians.				
6	March 9, 2012	Iowa Physician Group	Practice violated the physician self-referral statute because the compensation methodology for certain employed physicians did not satisfy the requirements of the bona fide employment relationships exception.	Physician Group Practice		\$74,000	
7	March 20, 2012	Arizona Hospital	Hospital violated the physician self-referral statute by not satisfying the requirements of the personal service arrangements exception for an arrangement with a physician for the provision of locum tenens hospitalist services.	Acute Care Hospital		\$22,000	
8	April 5, 2012	North Carolina Hospital	Hospital violated the physician self-referral statute by exceeding the calendar year non-monetary compensation limit for two physicians during three consecutive years.	Hospital		\$6,800	
9	June 13, 2012	Alabama Hospital	Hospital violated the physician self-referral statute by using a rental charge formula that did not satisfy the requirements of the rental of equipment exception.	Hospital		\$42,000	
10	June 28, 2012	Maine Hospital	Certain hospital arrangements with a physician and a physician group practice had lapsed and may have violated Stark Law because those arrangements did not satisfy the requirements of the personal services exception under the Stark Law.	Hospital		\$59,000	

11	July 31, 2012	Massachusetts Hospital	Hospital arrangements with two physician practices for call coverage were not set out in writing and may have violated the Stark Law because those arrangements did not satisfy the requirements of the personal services exception under the Stark Law.	Hospital		\$208,000	
12	August 15, 2012	Florida Hospital	Arrangements with three physicians for certain services may have violated the physician self-referral law, because those arrangements did not satisfy the requirements of the personal service arrangements exception.	Hospital		\$22,000	
13	August 22, 2012	Missouri Hospital	Arrangements with two physicians for the provision of dental services to certain patients may have violated the physician self-referral law, because those arrangements did not satisfy the requirements of the personal service arrangements exception.	Hospital		\$125,000	
14	October 25, 2012	North Carolina general acute care hospital	Hospital may have violated the physician self referral law by (1) failing to satisfy the requirements of the physician recruitment exception for an arrangement with one physician,(2) failing to satisfy the requirements of the fair market value exception for arrangements with two physicians to provide medical director services, (3) failing to satisfy the requirements of the fair market value exception for the provision of leadership stipends to thirteen physicians, and (4) failing to satisfy the requirements of the personal services arrangement exception for an arrangement with a group practice to provide ophthalmology	Hospital		\$584,700	

			services. The Hospital also disclosed on behalf of the Hospice that it may have violated the physician self referral law by failing to comply with the fair market value exception for arrangements with two physicians to provide hospice services.				
15	November 6, 2012	California Hospital	The Hospital disclosed under the SRDP that it violated the physician self referral statute by not satisfying the requirements of the physician recruitment exception.	Hospital		\$28,000	
16	December 27, 2012	California acute care hospital	The Hospital disclosed under the SRDP that it may have violated the Stark Law by failing to satisfy the requirements of the personal service arrangements exception for an on-call gastroenterology coverage arrangement with one physician.	Hospital		\$1,600	