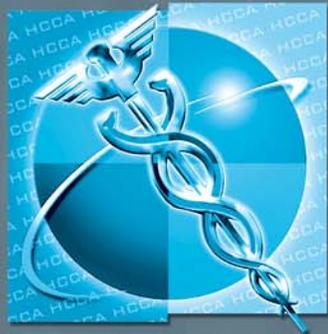


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Meet Julene Brown



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Letter from the CEO

Roy Snell

Management vs. Compliance

When Compliance officers fail, it is because they don't successfully execute the basic elements of compliance. When managers fail, it is because they don't act in accordance with the basic elements of management. Managing is a tough job that requires tough decision making. Compliance is a tough job that requires tough decision making. Management involves telling people what they don't want to hear. The same is true for compliance. If a manager is unable or is unwilling to address a problem, the problem will fester and intensify. The same is true for compliance.

Management requires good communications skills. Compliance requires good communications skills. A manager must facilitate difficult change. Compliance must facilitate difficult change. Managers need to look at financial statements and make adjustments. Compliance officers need to look at audit results and make adjustments. Both positions report to the board, respond to complaints, educate, and negotiate. Both managers and compliance professionals develop, maintain, and enforce policies and procedures.

The single biggest misconception in our field is with regard to the experience and background necessary for a compliance officer to be successful. Legal, audit, finance, HR, clinical, and billing background are cited most frequently. However, when called by recruiters and HR directors, I have encouraged them to focus on management skills. Compliance officers without management skills, (either natural or experienced based),

seem to struggle the most. All the legal, accounting, or clinical experience in the world will not help someone who can not handle the majority of the job requirements listed in this article.



The turn over rate in the compliance profession is staggering. Not a single respondent to our *6th annual survey* stated that they were the original CO of their organization. The turn over is 100%, in an industry less than 8 years old! The primary industry experience deemed most important was health care administration. Over half of the respondents selected administrative experience as the most important background for a compliance profession. A legal background was selected by 15% and audit was selected by 10%.

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I get calls from compliance officers who tell me that they can't get their job done. They can't get people to listen to them. They can't facilitate change. They are frustrated and management is frustrated, "What do I do?" I have lots of politically correct advice. I get calls from HR department heads and CEOs who say that their compliance officer is not

working out. I have politically correct advice for them too.

The truth is that, frequently, it is not working out because the individual in question does not have the skills required to do the job. They should go and do something else. Their legal, clinical or accounting experience can't help them. They don't have enough management experience. They are not cut out for compliance. The compliance industry and those responsible for hiring compliance professionals, needs to stop focusing on technical skills and start focusing on management skills. Until they do, there will continue to be more frustration than this already very difficult profession ought to have. ■