

# A Compliance Program Facelift... Sculpting a Program From Good to Great

HCCA Managed Care Conference  
January 27, 2020

Q lfrdn#V1Kxii#KD/#P ED/#FKF/#FKVS  
Fklhi#Frp sddqfh#R iilfhu# #Sulydf|#R iilfhu  
Vw#Dxn#K qlyhuw#|#Khdok#Q hwez run#  
Ehwkdhkhp /#SD

Gherudk#P i#Mrkqvrrq/#P V/#P KD/#SkG  
Ylfh#Suhvghqw/#P rp sddqfh#  
Ldq#Fduh#Khdok#Sdg#  
Fklfdjr/#Q

○

○

1

## Speakers

Deborah M. Johnson, MS, MHA, Ph.D.  
VP, Compliance  
Illinicare Health  
Deborjohnson@illinicare.com

Nicole S. Huff, DHA, MBA, CHC, CHSP  
Chief Compliance & Privacy Officer  
St. Luke's University Health Network  
Nicole.Huff@sluhn.org



○

○

2

# Disclaimer

The opinions and information provided during this presentation are solely that of the speakers and do not represent the opinions of their employers.

3

# Today's Goals

- Address state and federal requirements and enforcement activities
- Discuss strategies to move your compliance program from "Good To Great" with limited resources
- Case scenarios describing how to build partnerships and influence outcomes

4

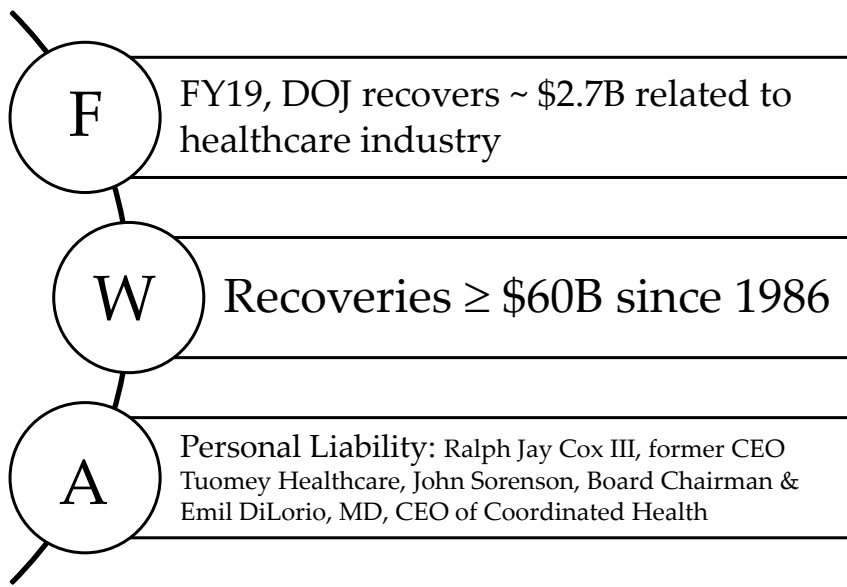
## State & Federal Requirements

- **Medicare (Part C and D Participation)**
  - Medicare Advantage
  - Medicare Medicaid Plans
  - Institutional Special Needs Plans
  - Dual Special Needs Plans (dual eligible)
  - Prescription Drug Plan /Drug Rebate Programs
- **Medicaid (State Contract)**
  - Health Services (Population)
  - Technology /Telehealth
  - Reporting
- **Federally Funded “Marketplace”**
  - Exchange/ Health Marketplace Products
  - (State and Federal)
- **Accrediting Bodies**
- **CMS Fraud Waste Abuse**
- **US Sentencing Commission**
- **Vendors**



5

## Government Recoveries



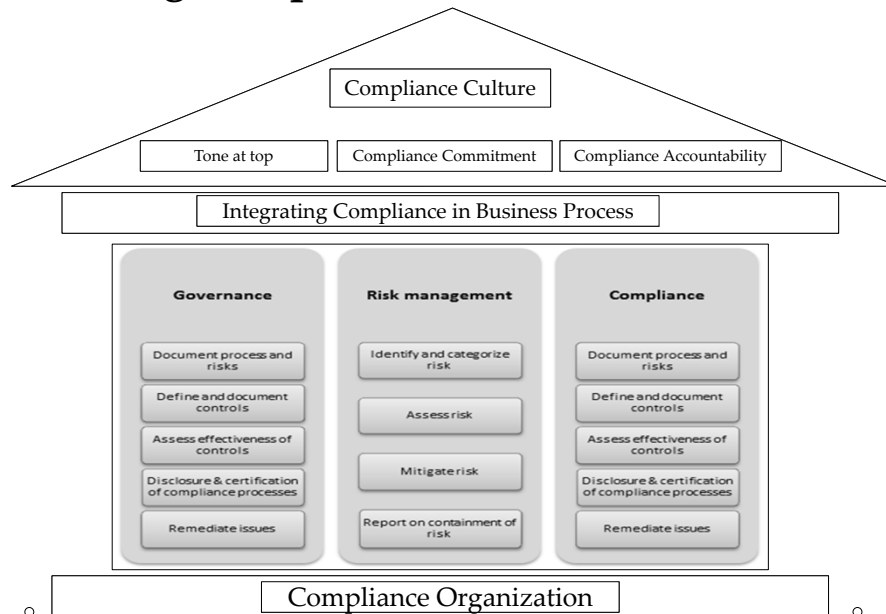
6

## Organizations without a Compliance Plan



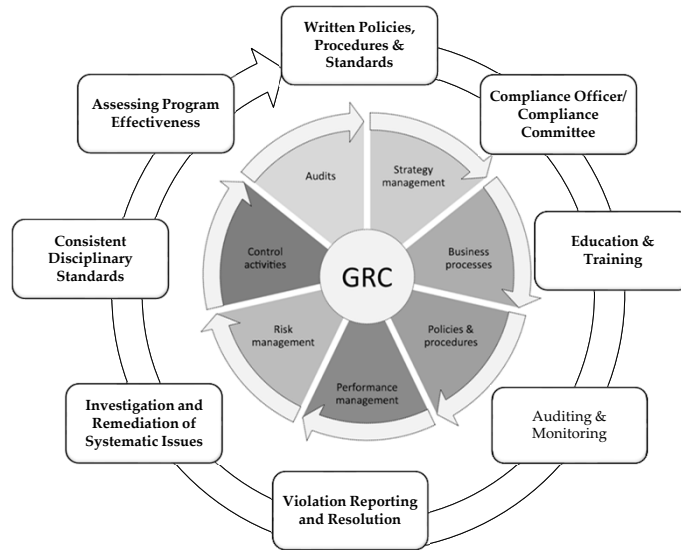
7

## Moving Compliance from “Good to Great”



8

# Compliance Program Infrastructure



9

## Compliance... The Foundation of Organizational Business...



- Framework consists of 3 core pillars
- The compliance program support business operations
- Assess effectiveness of overall Compliance & Operational Risks

### Governance/ Risk / Compliance Program

#### Governance Strategy

Tone at the Top

Risk Assessments

Reporting & Resolution

#### Risk Management

Policies & Procedures Adherence

Monitoring

Response & Prevention

#### Compliance Oversight

Auditing

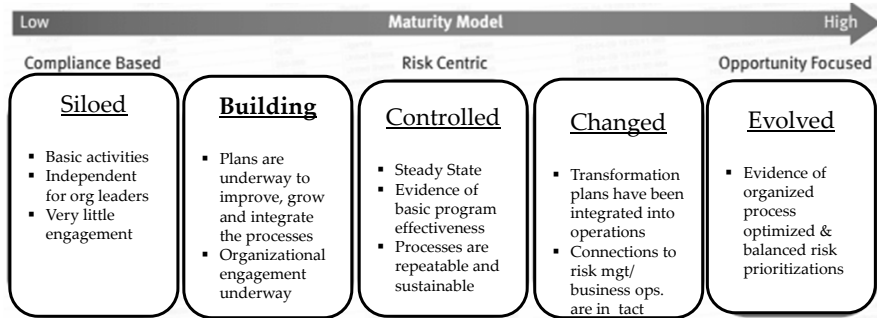
Education & Training

Enforcement & Discipline

Compliance Organization

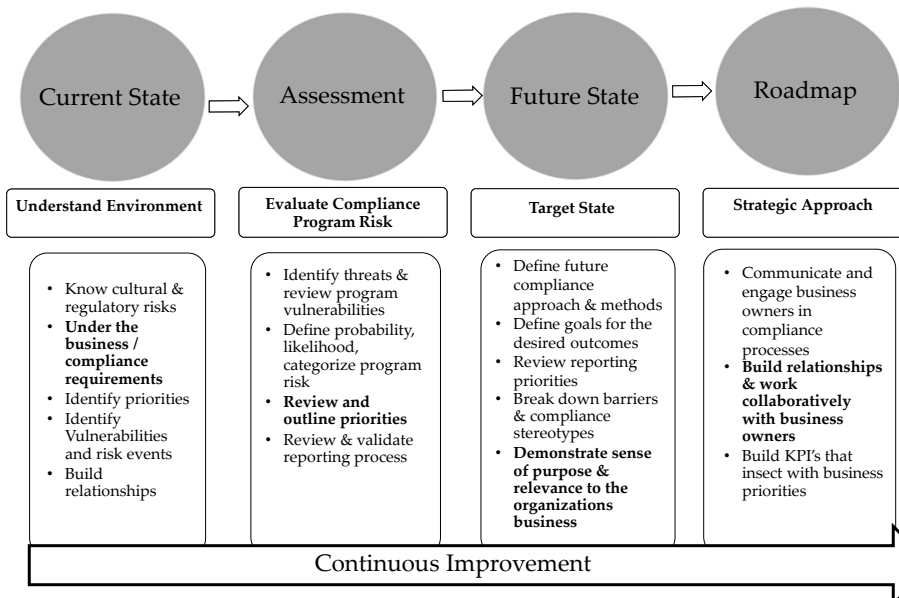
10

## Assess Compliance Program Maturity



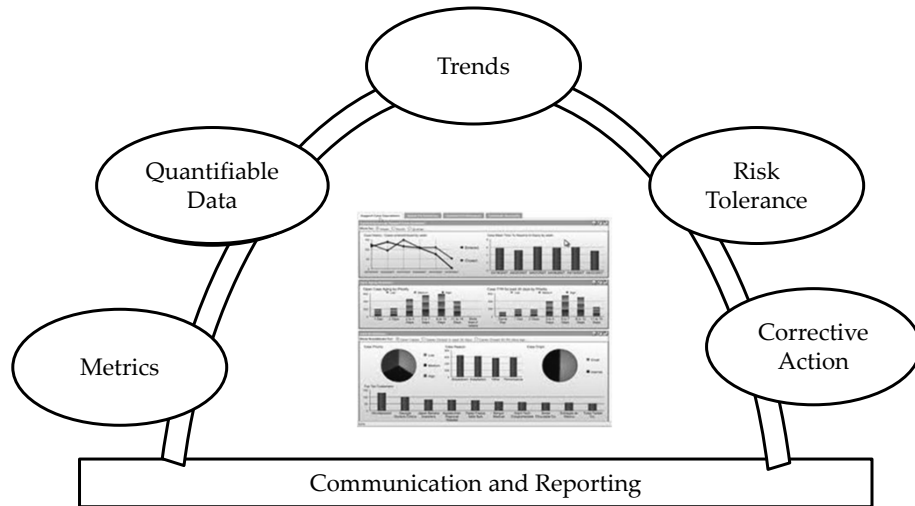
11

## Compliance Framework Redesign



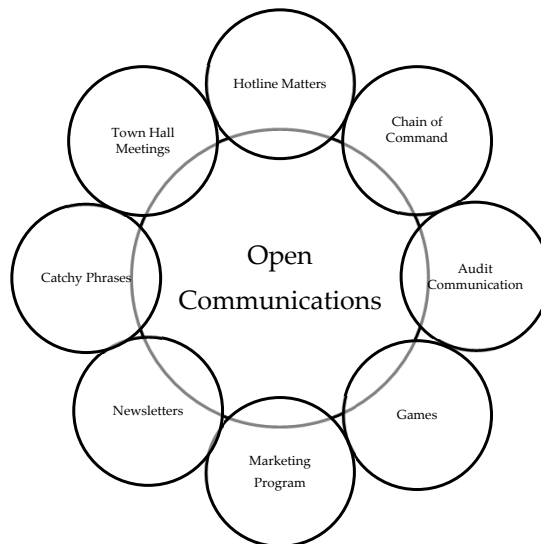
12

# Compliance Committee



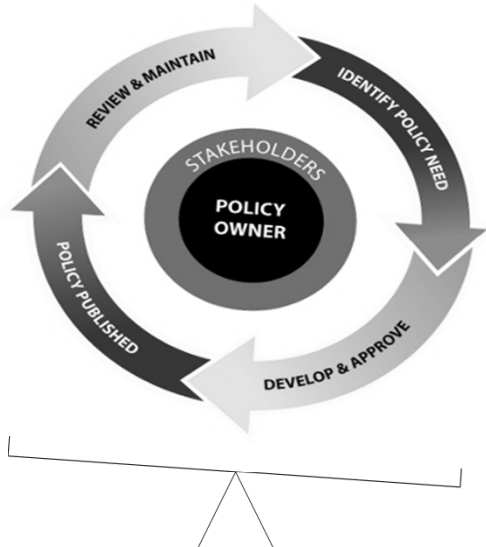
13

# Steps to Improve... Communication



14

## Good to Great...Policies and Procedures



15

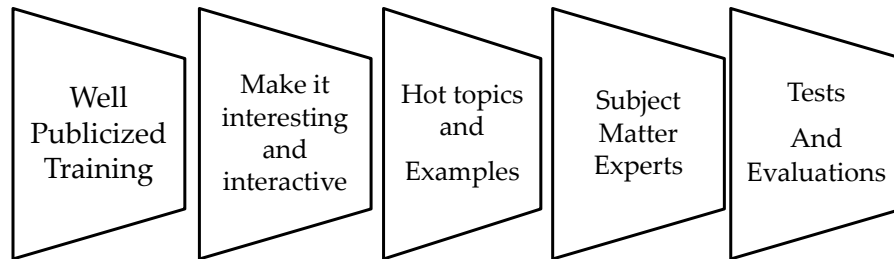
## Compliance Training



16



# Good to Great...Compliance Training



17

## Compliance Training

- Compliance program overview and requirements
- Compliance program structure review
- Overview of common healthcare regulations, state program and contract requirements
- Key policy and procedure review /updates
- Billing, coding, claims processing error, documentation requirements, FWA requirements and mitigation
- **Employees-** obligation and responsibility related to compliance and disciplinary action for non-compliance

18

# Annual Compliance Week Training

- **Themes**
  - Wild about compliance
  - Compliance Rocks Stars
  - Compliance State of Mind
- **Activities**
  - Chip and Putt
  - Hoops for Hero's
  - Family Feud
  - Episode Room
  - Jeopardy

○

○

19

## Board, Physicians and Executive Staff Training

- Be brief and detailed
- Use data, trends and outcomes, performance measures
- Financial data and risk
- Demonstrate any potential risk impact on business operations
- Clinical risk and impact on health outcome
- Use examples that are relevant to the executive audience
- Responsibility and obligations



○

○

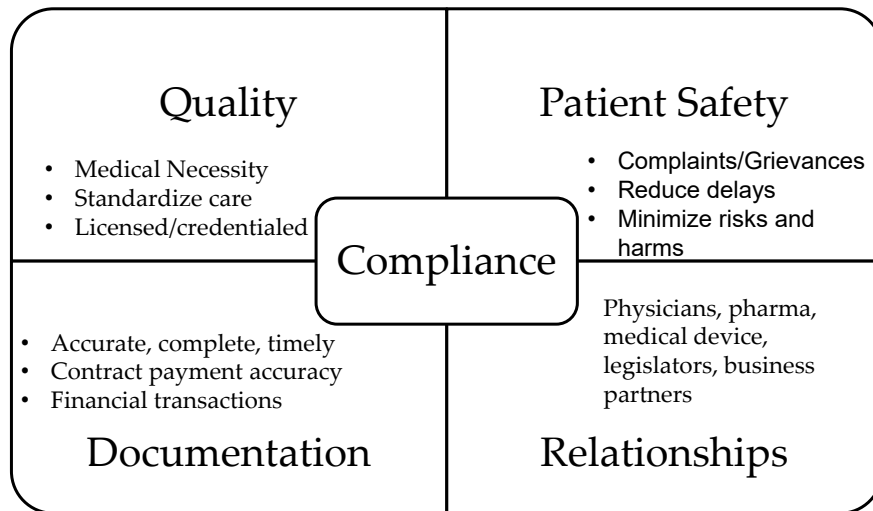
20

# Compliance Training



21

## Scenario: Identify Risks



22

# Risks

- Enterprise Risk Management (ERM)
  - Establishes a systematic process of understanding, evaluating and fostering action on significant risks
  - Promotes an environment of ownership and accountability of significant risks and the response to those risks
  - Considers internal, external and cross-entity risks
  - Provides a foundation for superior planning and budgeting
- Any issue that impacts your organization ability to meet its goals and objectives
- Understand the importance of each risk



23

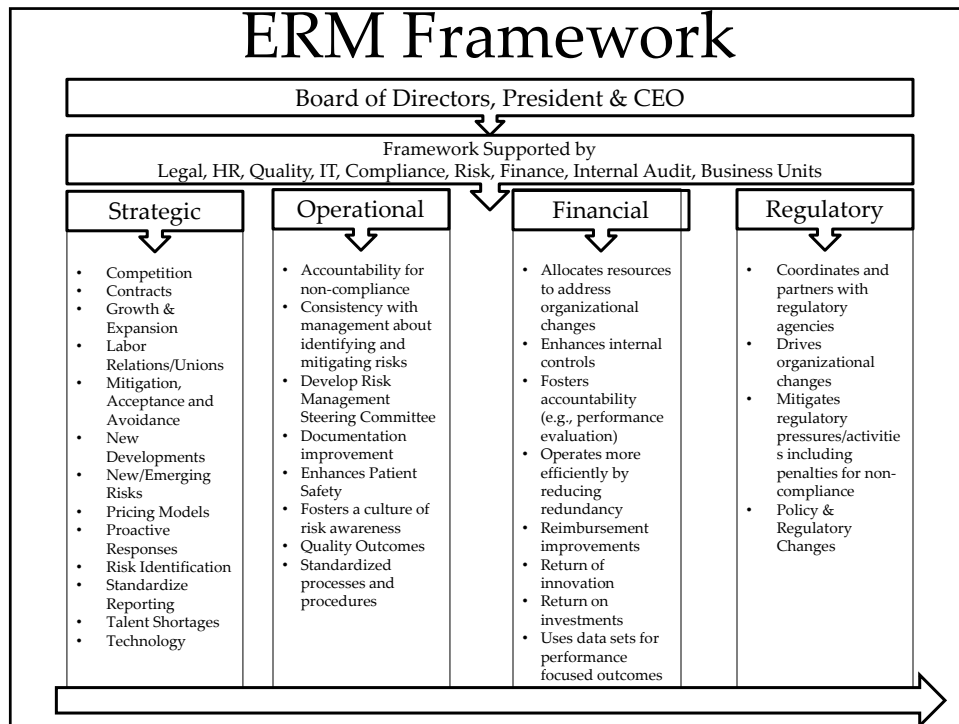
## Compliance Program: Good to Great

- Operates independently and objectively
- Strategic advisor and partner
- Promotes transparency and disclosure
- Utilizes data for trends/patterns
- Ongoing education and training to mitigate risks
- Drives awareness of emerging risks

- Engaged in strategic planning, decision-making and implementation processes
- Identifies opportunities to streamline financial, operational and reputational risks
- Advisor of regulatory requirements across multifunctional areas
- Triage, responds and reports enterprise-wide risks and communicates to leadership and Board of Trustees



24



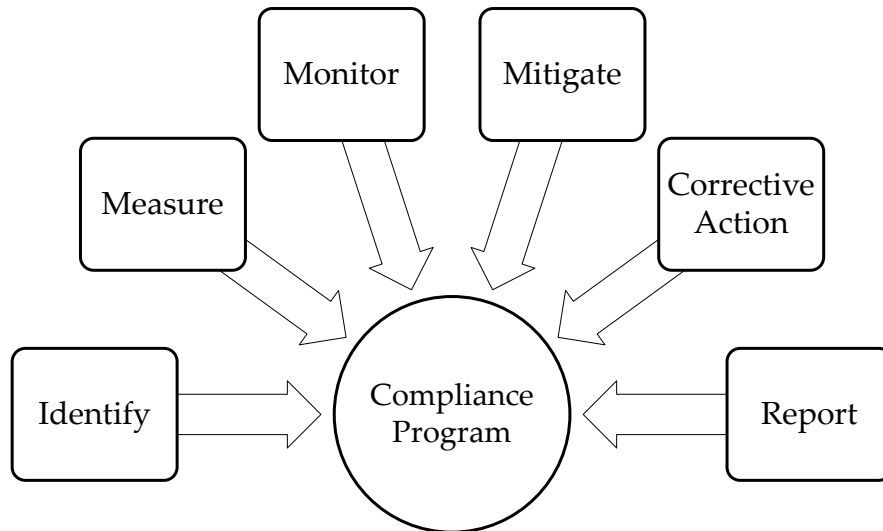
25

## How to develop risk lists

- Avoid loss of Medicare/Medicaid contract, financial fine/penalty, criminal charges, quality of care concerns or reputational harm
  1. List 5 things that must be done always related to patient safety, physician/vendor relationships, documentation or quality care
  2. List the top 5 policies/processes that your staff should be able to verbally summarize if asked by an internal/external auditor
  3. List 5 specific education and training sessions provided to at least 85% of your staff on patient safety, physician/vendor relationships, documentation or quality care within the last three years
  4. Identify the list of deficiencies your organization received within the last three years. Have you achieved 100% significant compliance?
  5. List 5 concerns that would keep you up at night if not done correctly
  6. New and emerging risks (e.g., new or updated regulations or trends)

26

## Driving Organizational Change



27

## Scenario: Auditing & Monitoring

- Business Units:
  - Prompt assignment of a qualified person to review risks or incident
  - Think Tank Session
- Data matching
- Compare patterns
- Monitor complaints
- Contracts with vendors for billing, credentialing and pharmacy services or other functions
  - Monitor contractors' performance
  - Utilize external auditors, where applicable
  - Determine scope of harm based on audit results
  - Review and act on audit results



28

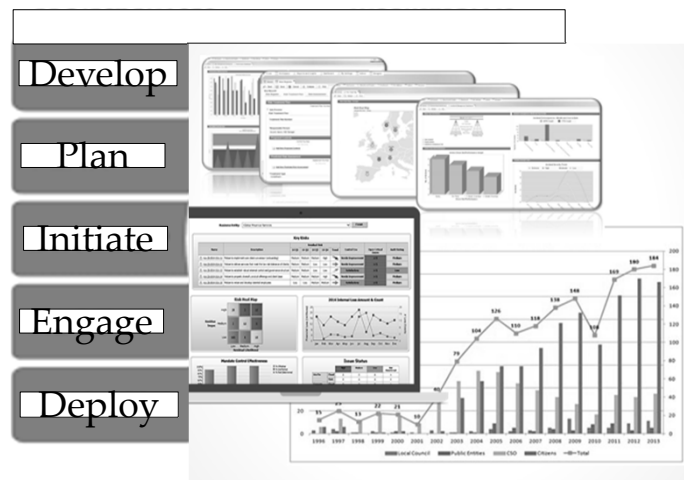
## Good to Great... Auditing & Monitoring



29

## Good to Great ... Reporting

*Track, trend, monitor and communicate organizational compliance, risks and remediation through a comprehensive reporting program*



30

# Great Compliance Program!

