# Building and Evolving Your Program Integrity Compliance Program

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Healthcare®

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## Agenda

Introductions

Program Overview

Private Public Partnerships

Program Integrity

Investigations & Data Intelligence

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# Introductions

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# Program Overview

Rick Munson
Program Integrity Chief Compliance Officer &
Vice President of Investigations

## Program Overview

### Program Integrity Compliance

- Seven element Compliance support, focused on business areas that make up "Program Integrity," or the anti-Fraud, Waste, Abuse and Error activities of the organization

### Program Integrity

- *"Business functions that focus on prevention, detection, and corrections activities to minimize or prevent overpayments due to FWA"*

  – **Payment Integrity**
    - Operations-Claim Payment Processing Accuracy
    - Pre & Post Payment Reviews

  – **Verification of Excluded Individuals & Entities FWA Investigations**
    - Primarily Post Pay Investigations

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## Administrative

Education

Network

Vendor Contracting

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# Private Public Partnerships

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# National Health Care Anti-Fraud Association- "NHCAA"

## NHCAA Mission

- *"To protect and serve the public interest by increasing awareness and improving the detection, investigation, civil and criminal prosecution and prevention of health care fraud and abuse."*

## NHCAA Membership

- NHCAA Membership Consists of Federal and State Law Enforcement, Regulatory Agencies & Private Payers

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# Collaborative Practices for Anti-Fraud Success in Medicaid Managed Care

## Background

- Medicaid
- Medicaid Managed Care

## Regulations

## GAO and HHS-OIG Reports

## NHCAA Workgroup

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# Collaborative Practices for Anti-Fraud Success in Medicaid Managed Care

## Recommendations

1. Hold Regular Meetings of Medicaid Anti-Fraud Partners
2. Ensure Coordination Between MPIs and MFCUs
3. MCOs Must Report Provider Network Changes and Encounter Data
4. Employ the Use of Data Analytic
5. Communicate Data Analytic Activities and Capabilities
6. Share Data Analytic Information
7. Institute a Case Coordination Process
8. Communicate Investigation Status
9. Recognize Preventive Measures
10. Identify and Address Disincentives that Impact Recoveries
11. Streamline MCO Reporting Requirements
12. Evaluate Standardized Reporting

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# Collaborative Practices for Anti-Fraud Success in Medicaid Managed Care

## Recommendations

- Communicate Investigation Status
- Recognize Preventive Measures
- Streamline MCO Reporting Requirements
- Evaluate Standardized Reporting

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## Collaboration

| **Law Enforcement** | **Public Health** | **Payers** | **Industry** |
|---|---|---|---|
| • Federal<br>• State<br>• Local | • HHS Public Health Service<br>• CDC<br>• State Health Agencies | • Public<br>• Private | • Advisory Opinions<br>• Compliance Monitoring<br>• Provider Groups |

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# Questions

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# Program Integrity –
# A Compliance Perspective

Mike Jurmu
Associate Director of Compliance, Program Integrity

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| **1** | **Definitions and Terminology** |
|---|---|
| | General and Variable |
| **2** | **The Compliance Connections** |
| | Regulator Engagements and Common Language |
| **3** | **Acknowledging the Differences and Carving Out a Role** |
| | Applying Compliance Tools to Support Operational Execution |
| **4** | **Continue to Evolve** |
| | Goals for 2021 and Beyond |

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# Definitions and Terminology – "Pay it Right"

> *"We have historically defined program integrity very simply: "pay it right." Program integrity must focus on paying the right amount, to legitimate providers and suppliers, for covered, reasonable, and necessary services provided to eligible beneficiaries while taking aggressive actions to eliminate fraud and abuse." - Centers for Medicare & Medicaid Services (CMS), Center for Program Integrity Request for Information on the Future of Program Integrity*

**How might stakeholders reference it?**

- Program Integrity
- Program Integrity Unit
- Payment Integrity
- Special Investigations Unit
- Fraud, Waste & Abuse

**What might stakeholders include in it?**

- Almost Anything

The Challenges: Confusion and Inconsistency

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# The Compliance Connections

## Audits – Requests for Information – Requests for Proposals

Tell the Program Integrity Story in terms of Prevention, Detection and Correction

**+**

| | | |
|---|---|---|
| Reporting Mechanism for FWA | Train to Identify and Report | Supporting Policies |
| Oversight of the Process | Communication and Collaboration | Response to Identified Issues |
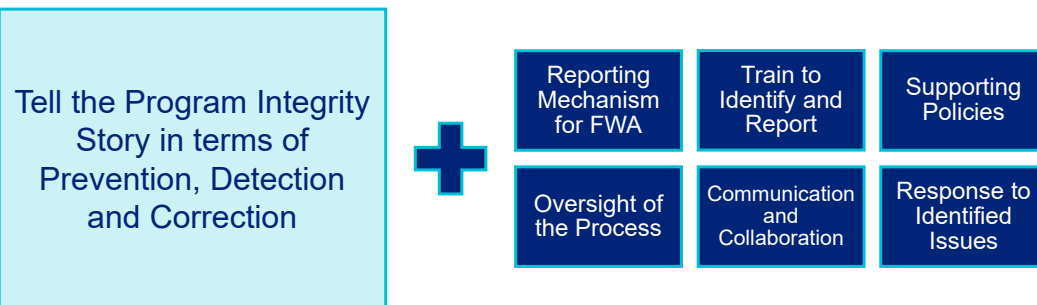
My personal challenge, as a compliance professional – Embrace the similar language and think of ways to be valuable, while acknowledging the underlying processes are foundational business activities that would exist, whether I did or not.
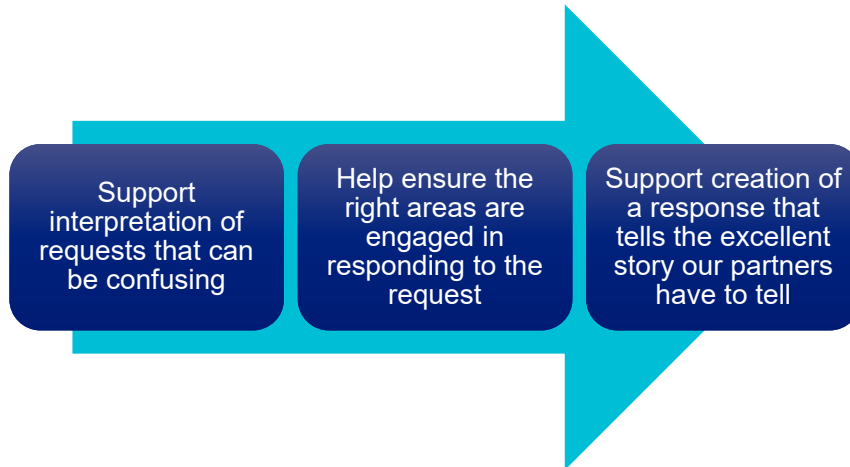
## Compliance Role – Individual Engagements or Requests

| Support interpretation of requests that can be confusing | Help ensure the right areas are engaged in responding to the request | Support creation of a response that tells the excellent story our partners have to tell |

## Our Compliance Role – Fundamental Structure

- Create and Maintain an Oversight Committee, in Partnership with Business Leadership

- Create and Maintain Basic Program Documentation with Business Leadership

- Partner with Business Leadership to Create Operational Fraud and Abuse Mitigation Strategy, that Incorporates Compliance Considerations

- Support Creation and Maintenance of Appropriate Training

- Create and Maintain a Risk Assessment that Aligns with Business Activities and Oversight

- Support Business Efforts to Effectuate that Oversight

## Looking Ahead – My 2021

**Impact**
- Highlight activities that positively impact the entire industry or government program

**Inclusion**
- Bring more areas into the Program Integrity discussion
- Create venues for additional education

**Ownership**
- Continue to stress Program Integrity is not a discrete activity, performed by one group
- We each have a role - it takes a village

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# Questions

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# Innovation and Use of Data (Intelligence)

Matthew Berls
Senior Director of Investigations

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**1**    **Innovation**
"What is it"

**2**    **Changing & Enhancing**
Enhanced Pharmacy Credentialing

**3**    **Building & Fusing**
Data Intelligence + Program Oversight

~ Machine Automation ~

**4**    **Advanced Analytics**
Augmented Reality/Proprietary Algorithms

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## Innovation – "What is it"

mutation inventive
permutation unconventionality **newness** reorganization origination creative
advancement **modernism** **freshness** addition **metamorphosis**
visionary **introduction** **originality** **modernization** remodeling
**upheaval** **transformation** novelty **revolution**
uniqueness **change** restructuring initiation **alteration** shift
rearrangement deviation **variation** development invention
modification **departure** renovation imaginative advance restyling
creation **recasting** improvement design

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## Innovation

### ~ Invent The Future and Learn From The Past ~

**We Believe**
- Understand your environment – constant change
- Proficient at adapting to change
- Pursue a continuous course of positive and practical innovation
- Make it a core competency

**We Value**
- Learn from experiences
- Utilize past insights
- Invent a better future

**We Behave**
- Respectfully **challenge** the **status quo**
- **Encourage** and invest in **new ideas**
- Be curious
- Do not **fear** **failure**

Who We Are: Mission & Values – UnitedHealth Group, available at https://www.unitedhealthgroup.com/who-we-are/mission-values.html

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## Changing & Enhancing

**Enhanced Pharmacy Credentialing**

❑ *History Pre-implementation (Insights)*

❑ **Program started in 2014**

❑ **Key elements include:**
- ✓ Onsite inspection
- ✓ Inventory reconciliation
- ✓ Background checks

❑ **Suspect pharmacies denied entry or terminated**

❑ **Referrals to regulators and/or law enforcement agencies**

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## Building & Fusing – Data Intelligence + Program Oversight

- **Fusion:** *"The process or result of joining two or more things together to form a single entity."\**

Data Intelligence → Superior Oversight ← Program Oversight
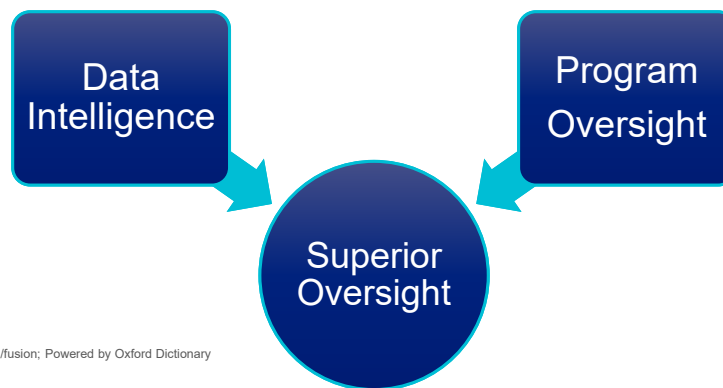
\*https://www.lexico.com/en/definition/fusion; Powered by Oxford Dictionary

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**Building & Fusing** – Data Intelligence + Program Oversight

| | | | |
|---|---|---|---|
| **Tableau** | **Hadoop** | **Access** | **SQL Server** |
| **Excel** | **SAS** | **Alteryx** | **PowerBI** |
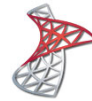
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**Building & Fusing** – Data Intelligence + Program Oversight

**Productivity**                    **Regulatory Compliance**

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# Building & Fusing – Productivity

**Data**

**User**

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# Building & Fusing – Productivity

**Data**

**User**

"Timestamp"

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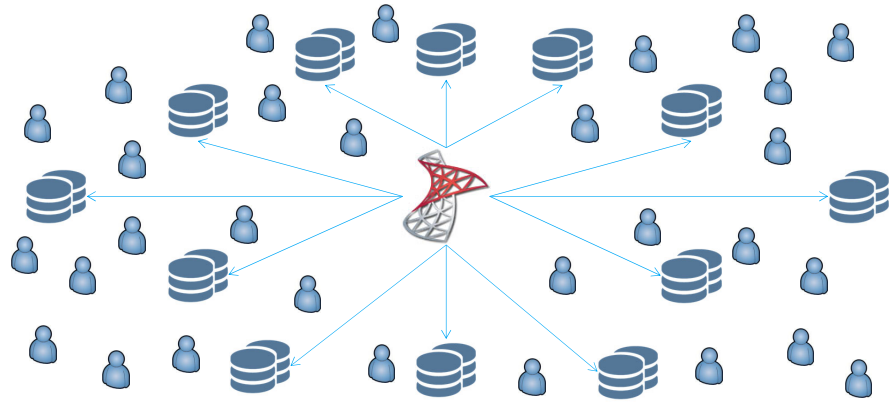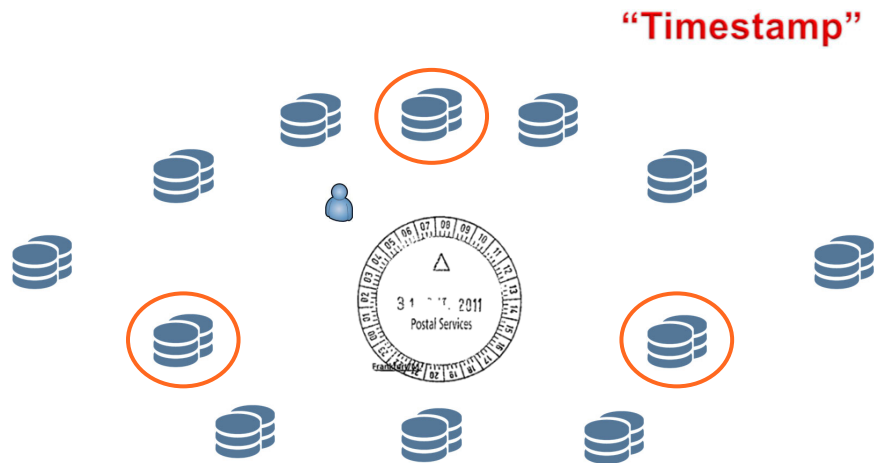
# Building & Fusing – Productivity

- **Correlate Time with User Interfaces on SQL Tables, e.g.**
  - **Matthew Berls – User "berlsm":**
    - 9/11/2020 11:30 AM – tbl_Subject_Info
    - 9/12/2020 12:39 PM – tbl_Notes
    - 9/13/2020 1:24 PM – tbl_Reporting_Requirements
    - 10/12/2020 3:30 PM – tbl_Notes
    - 12/12/2020 4:40 PM – tbl_Investigative_Plan

| Day | Week | Month | Quarter | Year |

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# Building & Fusing – Productivity

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# Building & Fusing – Productivity



Total Activity - Excluded Summary by Name
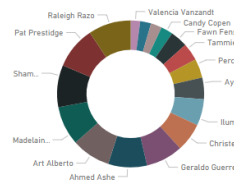
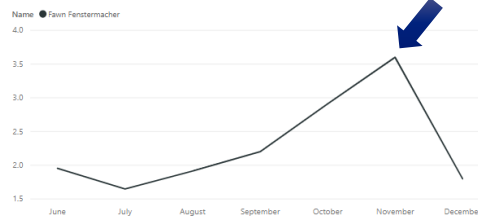Average of Total Activity - Excluded Summary and Measure
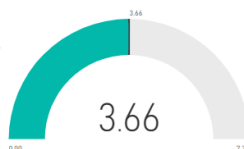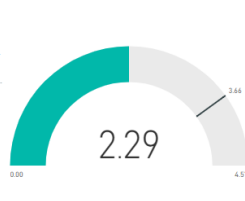
Total Activity - Excluded Summary by DOW and Team Lead
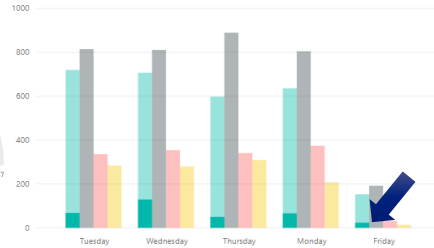
Total Activity - Excluded Summary by Name and Team Lead
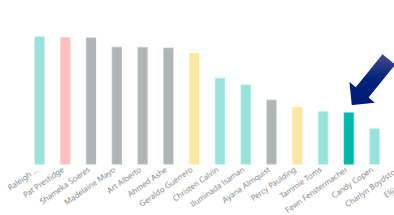
Average of Total Activity - Excluded Summary by Month and Name
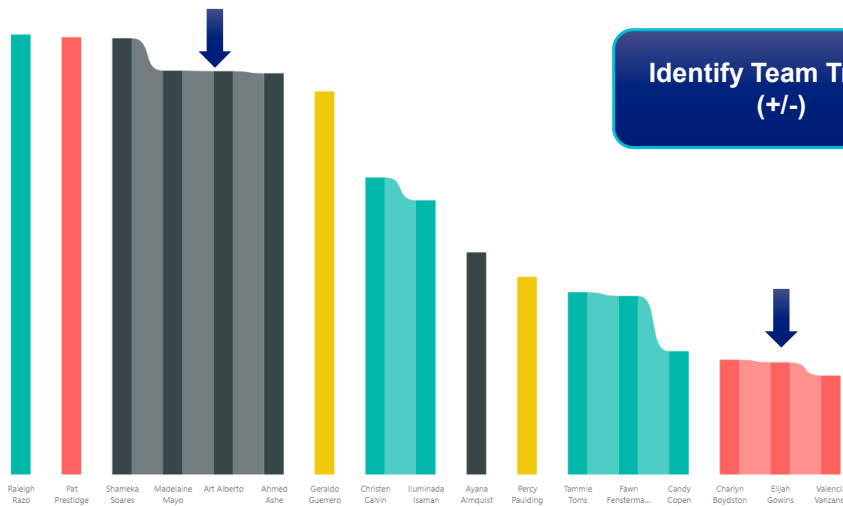
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# Building & Fusing – Productivity
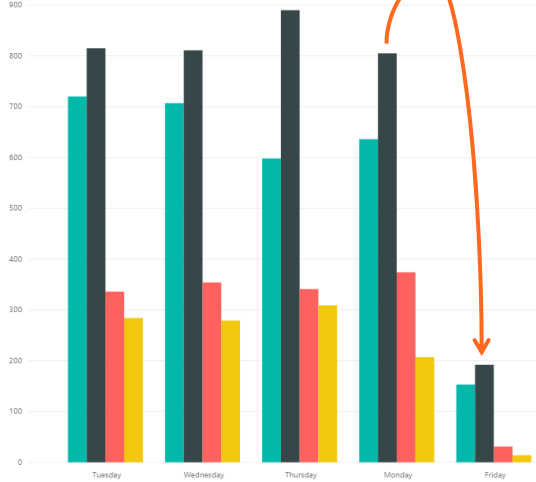


Identify Team Trends
(+/-)

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## Building & Fusing – Productivity

Total Activity - Excluded Summary by DOW and Team Lead

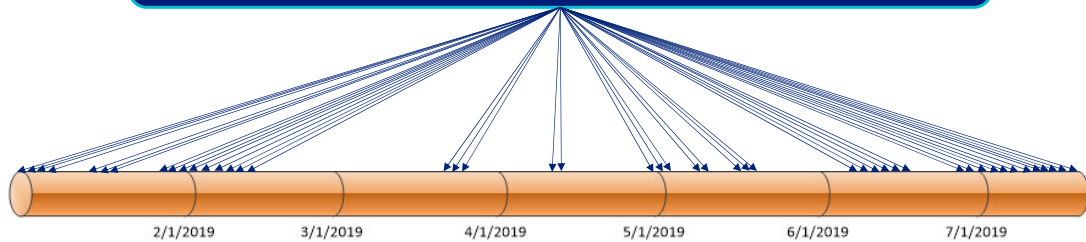Team Lead ● DDawg ● DDuck ● MMouse ● MnMouse

Low Producing Days

"WFH"

FRIDAY!

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## Building & Fusing – Regulatory Compliance

$$\frac{Regulatory\ Landscape}{Investigation}\left(LOB^3\right)\left(State^5\right)x = 47$$

2/1/2019  3/1/2019  4/1/2019  5/1/2019  6/1/2019  7/1/2019

1/1/2019                                                7/20/2019
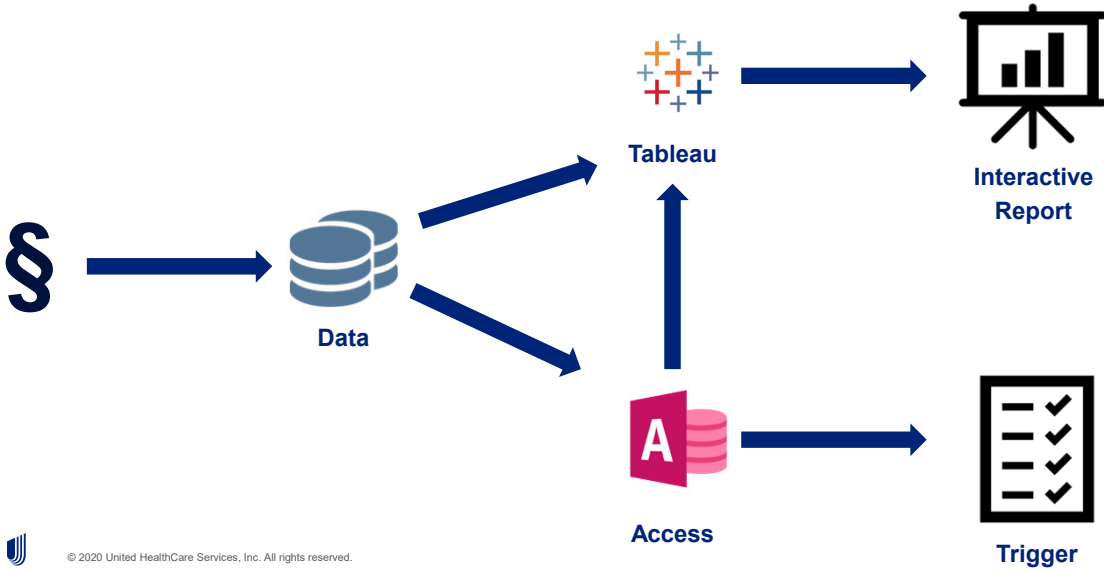
**Start**          ~ Lifecycle ~          **Finish**

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**Building & Fusing** – Regulatory Compliance

Tableau

Interactive Report

Data

Access

Trigger

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**Building & Fusing** – Regulatory Compliance

Upcoming LOB - Breakdown

Medicare
24

Commercial
33

Medicaid
44

Line of Business

Commercial   Medicaid   Medicare

Past Due Requirements
By Line of Business

Medicare
4

Commercial
18

Medicaid
37

Commercial   Medicaid   Medicare

40

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## Building & Fusing – Regulatory Compliance

**IF Statement**

**Calculation**

Database   ✕

⚠ You have:

0 Requirements due today.
1 Past due requirements

** ALL requirements should be completed as soon as possible
and in accordance with applicable regulations.

OK

| State | Program | Requirement | Start Date | Due Date | Days | Task Type | Status |
|---|---|---|---|---|---|---|---|
| TX | Medicaid | Case Notification | 1/2/2021 | 2/15/2021 | -41 | State Requirement | Upcoming |
| TX | Commercial | Fraud Referral | 1/2/2021 | 1/2/2021 | 3 | State Requirement | Past Due |
| TX | Medicaid | Fraud Referral | 1/2/2021 | 2/15/2021 | -41 | State Requirement | Upcoming |
| UT | Commercial | Fraud Referral | 1/2/2021 | 1/2/2021 | 3 | State Requirement | Past Due |

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## Advanced Analytics

### FACTS

❑ **Analytics and Intelligence include:**
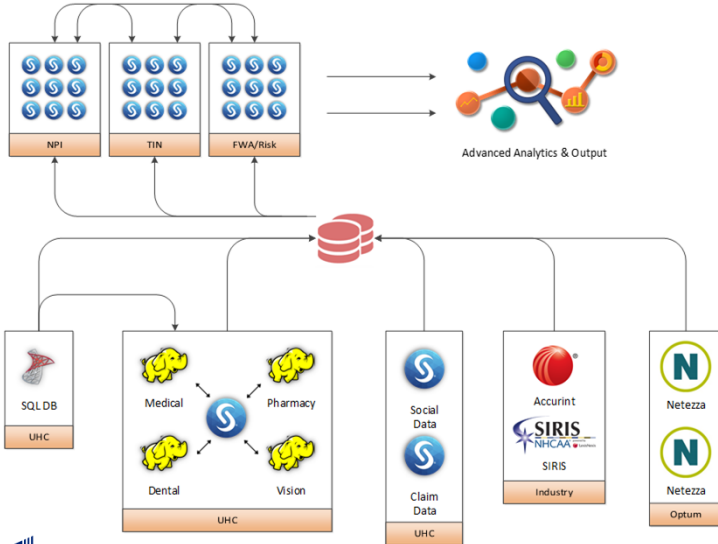
✓ Database Development

✓ Dataset Creation

✓ Social Analytics

✓ Geospatial Analytics

✓ Trending & Scoring

✓ Augmented Reality

✓ Machine Automation
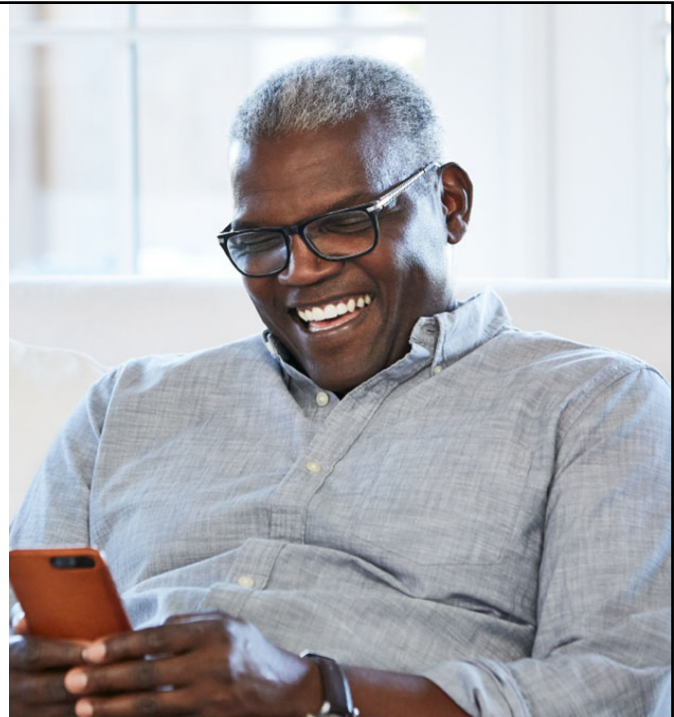
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Advanced Analytics – Proprietary Algorithm

**FACTS**

- Consolidated Analytical Apparatus
- Est. Risk Continuum
  - Multiple Scoring Computations
- Modeling
- Fraud Detection
- Reporting

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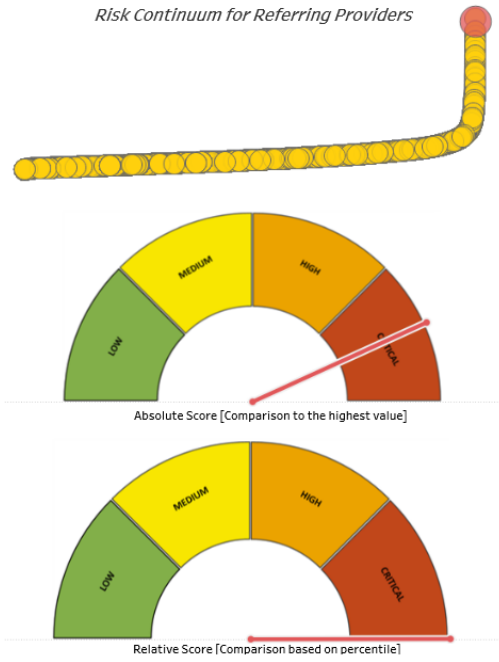Advanced Analytics – Augmented Reality

**Proprietary Intelligence**

❑ **Provider (NPI) Analytics**

✓ Top nth Alerts

✓ Risk Continuum
  - Absolute Score
  - Relative Score

✓ Augment Reality
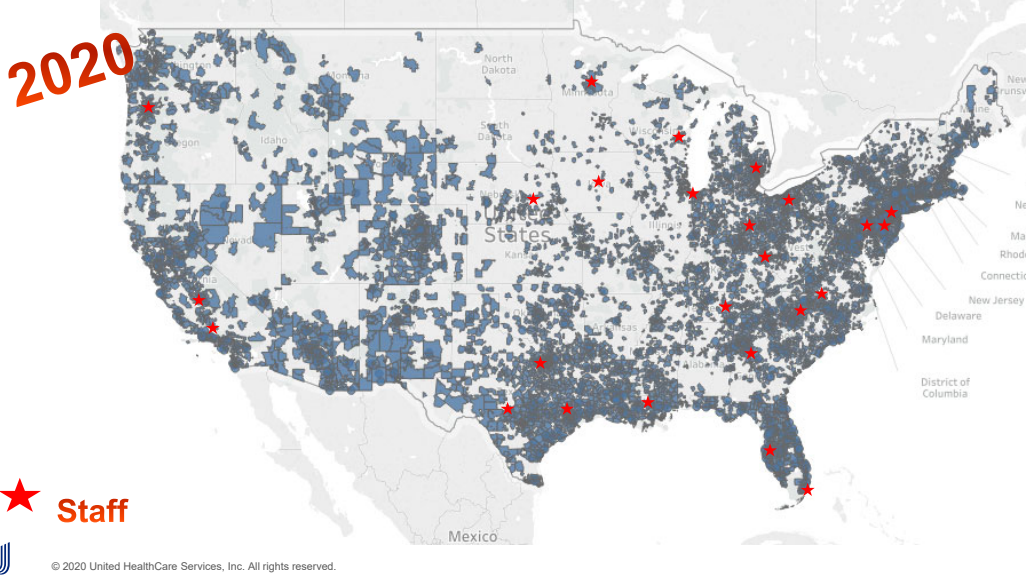  - "IF"
  - "THEN"
  - "WOULD"

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