



Developing an Effective Compliance Program

How to move from building to implementing a DSNP Compliance program

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Developing an Effective Compliance Program

Components and concepts to create an effective program

- Incorporating Best Practices and Establishing Measures

How compliance professionals engage stakeholders as partners in building and creating an effective DSNP program

- Development of the Compliance Committee; and ensuring on-going communication in establishing measures for monitoring and continuous improvement.
- Completing an Annual Comprehensive Risk Assessment
- Develop measures for identifying Risks



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D-SNP's – what are they?

- Individuals eligible for both Medicare and Medicaid.
- Medicare pays first, Medicaid pays second.
- There are benefits that Medicaid covers that Medicare does not.
- Must understand different benefits under each and who pays
- Not all beneficiaries will have same plan



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7 Elements of a Compliance Program - Recap

- Policies and Procedures
- Compliance Officer and Compliance Committee
- Training and Education
- Effective Lines of Communication
- Enforcement of Standards
- Monitoring and Auditing
- Prompt Response and Corrective Action Procedures



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Best Practices – Training and Education

Establish a Training and Education Schedule

- Develop and maintain a summary of the compliance program
 - Covering the 7 elements (but also including a summary of both ethics and FWA)
 - Include specific examples of how the compliance program also includes privacy and security
 - Emphasize the various means for reporting
- Collaboration with Human Resources on New Hire Orientation
- Develop “snap shot” reminders – for periodic distribution to all staff



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Best Practices – Policies and Procedures

Consider establishing a Centralized Repository (Encourage Housing and Oversight by the Compliance Officer (monitored via the Compliance Department))

- Create and implement a policy tracking process, reflecting the review process (and, create a corresponding policies outlining the process)
- Maintain methods to track e.g. review and update approvals on at least an annual basis
- Retain documentation to reflect adherence to policy process (Goal = 100%)
- Identify accountability for monitoring and communicating status of policy process
 - Important to provide transparency and communication across organization



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Best Practices – Compliance Officer & Compliance Committee

Compliance Officer

- Ensure communication of the Compliance Officer as responsible for Oversight of the Compliance Program
- Importance of Visibility and access to the Compliance Officer
- Ensure prompt and thorough responses to reported issues & concerns

Compliance Committee

- Ensure the Committee is comprised of cross-functional representatives with both knowledge and authority to effectively advise the Compliance Officer
- Create and implement a Compliance Committee Charter outlining the responsibility of the Compliance Committee and the roles/responsibility of the Committee Members
- Establish the ongoing agenda items and frequency of the Compliance Committee meetings; then maintain consistency:
 - Established metrics (such as identified risks, status of on-going CAPs, timeliness and accuracy of deliverables and P&Ps)
 - Ensure documentation via meeting minutes for each Compliance Committee Meeting

Best Practices – Effective Lines of Communication

Create a clear line of open communication between all levels throughout the organization:

- Facilitate a “culture of compliance” at all levels of the organization.
- Ensure employees are familiar with all mechanisms for reporting, and have confidence in the organization’s “non-retaliation” policy.
- Enforce a clear line of communication between the Compliance Team, Compliance Committee, and the Board of Directors
 - Primary Goal: “No surprises!”
- Commit to on-going training and communication on standards and procedures
 - Training to occur on at least an annual basis (and Attestations where applicable)
 - Incorporate other activities or testing modules in trainings to assess employees’ comprehension

Best Practices – Enforcement of Standards

- Create mechanisms or venues for communication of standards (i.e. policies and procedures, code of conduct, and compliance trainings)
- Effective discipline is essential – develop a means for enforcement of violations
- Maintain consistency in enforcement of standards (regardless of employee’s position or title)



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Best Practices – Monitoring and Auditing

Development of a separate Monitoring/Auditing schedule

- Create ranking of risk categories (*See Example Ranking)
- Implement benchmarks/measures for auditing and reporting results
- Generate frequency of monitoring (including re-audits based on findings)
- Create and maintain a “report card” and/or “dashboard” of ongoing tracking / reporting items and findings
- Incorporate findings (including CAPs, and improvements) into annual assessment
- Include FDR’s and vendors in your auditing and monitoring program

Likelihood x Impact = Overall Risk Rating

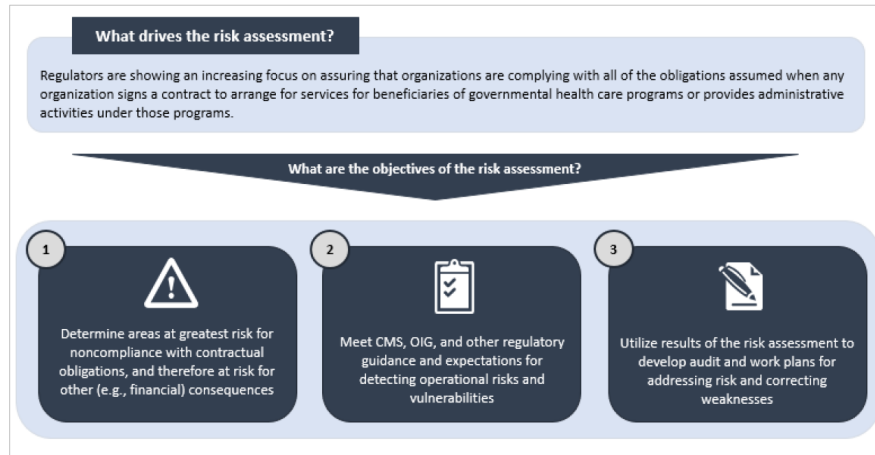
High	Yellow	Red	Red
Med	Yellow	Yellow	Red
Low	Green	Green	Yellow
	Low	Med	High

Likelihood



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Completing an Annual Comprehensive Risk Assessment



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Best Practices – Prompt Response and Corrective Action Procedures

- Ensure communication of all mechanisms for reporting concerns and potential risks e.g. staffing concerns, lack of training, program changes which haven't been implemented;
- Establish and maintain a process for prompt acknowledgement and follow-up of the concern (including follow-up on any corrective actions resulting from the report);
- Engage the Compliance Committee in development of any policy or procedure development resulting from reported concerns (and steps taken to prevent recurrences).

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Other Considerations

- First Tier, Downstream, Related Entities (FDR) aka delegates and vendors.
- Audit Readiness
 - Documentation that can be prepared in advance of audit notices
 - Policies and procedures: updated, tracking of review and education, cross walk of requirements for critical elements
 - Mock audits: focused audits, interview preparation, universe pulls
 - Reviewing CMS audit protocols



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Compliance Program Effectiveness

- Managed Care Manual Chapters 21 and 9
- HCCA Resource Guide (Medicaid)
- Medicaid Contract Requirements Crosswalk
- Accreditation Considerations e.g. URAC, NCQA



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