THE COMPLIANCE-PRACTICE PARTNERSHIP: STRATEGIES FOR SUCCESS

JOE PICCOLO
INSPIRA HEALTH NETWORK

TODAY’S AGENDA

• Compliance as a Practice Resource
• The role of the Physician Practice Compliance Committee
• Auditing, Monitoring and Risk
COMPLIANCE AS A PRACTICE RESOURCE

We hired a new doc------YAHOO!

• However if this is the first you’ve heard about it…..

COMPLIANCE AS A PRACTICE RESOURCE

• The Realities:
  • Practice pace is different than compliance pace
  • Healthcare systems are complex and spread out
  • Negotiations with physicians don’t always consider compliance
  • Private Practice Physicians don’t appreciate compliance
COMPLIANCE AS A PRACTICE RESOURCE

• So what to do?
  • Communicate
    • Educate
    • Negotiate
    • Build a partnership

COMPLIANCE AS A PRACTICE RESOURCE

• Communicate with:
  • Physicians
    • Prior to acquisition and thereafter
  • Practice Leadership
    • Monthly scheduled meetings and informal hallway consults
    • The value of lunch
  • Practice Staff
    • Both physician office and administrative teams
  • Senior Leadership
    • Key stakeholders (CEO, COO, Board)
COMPLIANCE AS A PRACTICE RESOURCE

• Communicate how:
  • Don’t scare anybody
    • We are a resource, not a speedbump
    • Listen before answering
  • Negotiate instead of saying no
  • Your first interaction needs to be positive
    • Be proactive

COMPLIANCE AS A PRACTICE RESOURCE

• Communication Strategies
  • Prepare a “real” orientation program
    • Focus on the physician practice
  • Have a communication packet
    • Code of Conduct
    • Relevant signage
    • FAQs
    • Advisory Opinions
    • In-Services
COMPLIANCE AS A PRACTICE RESOURCE

- Communication Strategies
  - Get on Committees
    - Office Managers, Physicians, Acquisitions
    - Make sure compliance is an agenda item
  - Assist with Policies
    - Standardize, but be realistic
    - Recognize the operational differences
      - MSPs, NPPs, Notice of Non-discrimination, etc.
      - Challenge of the waiting room
      - Coding and billing

COMPLIANCE AS A PRACTICE RESOURCE

- Communicate what:
  - Physicians
    - HIPAA “traps”
      - Treating self or family members
      - Curbside consults
    - Asking Grandpop for his co-pay
  - Office Staff
    - How to report issues
      - Call “Joe”, not the Compliance Officer
        - Building personal relationships
          - Every member of the team
COMPLIANCE AS A PRACTICE RESOURCE

• Some Specifics
  • Develop a compliance liaison program
  • Education fairs
    • “Speed” education
  • Establish a Practice specific compliance work plan
    • In partnership with Practice leadership
  • “Sell” the Compliance Brand
    • On-Boarding
    • Policies and procedures that work
    • Auditing and Monitoring
  • Compliance week is the real deal

THE ROLE OF THE PHYSICIAN
PRACTICE COMPLIANCE COMMITTEE
PHYSICIAN PRACTICE COMPLIANCE COMMITTEE

• Start with a charter
  • Committee function
    • Develop and oversee annual work plan
    • Review and approve policies
    • Review audit findings
    • Develop educational opportunities
    • Develop an annual risk assessment function
    • Determine effectiveness

PHYSICIAN PRACTICE COMPLIANCE COMMITTEE

• Competency Based Membership
  • Compliance staff
    • Not just leadership
  • Medical Staff
  • Practice Leadership
    • Include office management
  • Revenue Cycle
  • Other Departments
    • Risk Management, Legal, HR, IT
  • Should senior leadership be there?
PHYSICIAN PRACTICE COMPLIANCE COMMITTEE

- **Key Deliverables**
  - Annually
    - Develop and complete the work plan
    - Review all policies
    - Perform a risk assessment
    - Survey members for committee effectiveness

- **Some Specifics**
  - Have co-chairs (Compliance and Operations)
    - Operational co-chair can serve on the Organizational Committee
  - Invite Board Compliance Committee members and key Senior Leaders
  - Generate minutes that get sent to the Board
  - Give assignments to Committee members
AUDITING, MONITORING AND RISK

• What to audit?
  • Look at controls in the practice
    • Business operations
    • Policies and procedures
    • Staff education and awareness
  • Coding and billing
AUDITING, MONITORING AND RISK

• Willie Sutton
• Follow the money
  • Open Payment Database
  • Relationships with Vendors
    • Make sure you have the data AND there are policies regarding relationships.
      • Insure there are controls in place

AUDITING, MONITORING AND RISK

• Physician Contracts
  • Make sure there is one
  • Are terms being followed?
    • Audit expense allocations
      • CMEs, travel, vacation time
    • If productivity based incentives, review the accuracy of the data
  • Make sure FMV is current and includes total compensation
  • Look for other arrangements
    • Leases, Medical Directorships, On-Call, etc.
AUDITING, MONITORING AND RISK

• HIPAA Issues
  • Access to records
    • Can access be audited?
    • Designated record sets
  • IT Security
    • Password protection
  • Physical Layout
    • Waiting rooms
    • Record storage/receipt areas

• You can’t monitor everything
  • Coding and Billing
    • Risk based to identify outliers
    • Myth of the 10 records per doc per year
    • Look for trends
      • Use of modifiers
      • Unusual coding patterns
      • Hours billed
AUDITING, MONITORING AND RISK

- Monitoring leads to great educational opportunities
- Monitoring comes out of auditing
  - Self monitoring
- Much of what we monitor is external
  - Don’t focus solely on dashboards
- Not everything can be monitored

AUDITING, MONITORING AND RISK

- Monitoring
  - IT Solutions
    - Coding and Billing
    - “Snooping” Software
    - Contract Management
    - BAA Vendor Assessments
    - Sanction Checks
  - Share information with practices
AUDITING, MONITORING AND RISK

• The Risk Assessment
  • Interview key stakeholders
    • “What keeps you up at night?”
  • Know the environment
    • OIG Workplan and other publications
    • Organization strategic plan
    • Professional journals, newsletters, e-mails, etc.
  • Engage your Compliance Committee and Compliance Liaisons
  • Look at prior year trends

AUDITING, MONITORING AND RISK

• Compiling the Data
  • Stratify and Prioritize
    • Financial
    • Quality
    • Reputation
    • “Bang for the buck”
AUDITING, MONITORING AND RISK

• Consensus and team building
  • Basis for the annual Workplan
  • Present often and enthusiastically
    • Board, Senior Leadership, Management, Staff
• Risk Assessments are organic
  • Keep your ear to the ground

IN CLOSING……

• Friction in the system is not a bad thing
• Trust is earned sometimes in adversity
• Be a resource
  • Understand the pressures of the physician practice
• Be consistent
JOE PICCOLO
PICCOLOJ@IHN.ORG