

**THE COMPLIANCE-  
PRACTICE PARTNERSHIP:  
STRATEGIES FOR SUCCESS**

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**TODAY'S AGENDA**

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- Compliance as a Practice Resource
- The role of the Physician Practice Compliance Committee
- Auditing, Monitoring and Risk

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**COMPLIANCE AS A PRACTICE RESOURCE**

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



- However if this is the first you've heard about it.....

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**COMPLIANCE AS A PRACTICE RESOURCE**

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- 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




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**COMPLIANCE AS A PRACTICE RESOURCE**

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




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**COMPLIANCE AS A PRACTICE RESOURCE**

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- 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)




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### 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




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### 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




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### 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

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**COMPLIANCE AS A PRACTICE RESOURCE**

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- 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

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**COMPLIANCE AS A PRACTICE RESOURCE**

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- 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




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

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**PHYSICIAN PRACTICE COMPLIANCE COMMITTEE**

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- 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




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**PHYSICIAN PRACTICE COMPLIANCE COMMITTEE**

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- 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?




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**PHYSICIAN PRACTICE COMPLIANCE COMMITTEE**

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

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PHYSICIAN PRACTICE COMPLIANCE COMMITTEE

- 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

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AUDITING, MONITORING AND RISK

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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




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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




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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.




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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




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AUDITING, MONITORING AND RISK

- 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

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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




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AUDITING, MONITORING AND RISK

- Monitoring
  - IT Solutions
    - Coding and Billing
    - "Snooping" Software
    - Contract Management
    - BAA Vendor Assessments
    - Sanction Checks
  - Share information with practices




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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




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AUDITING, MONITORING AND RISK

- Compiling the Data
  - Stratify and Prioritize
    - Financial
    - Quality
    - Reputation
    - "Bang for the buck"




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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




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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




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