



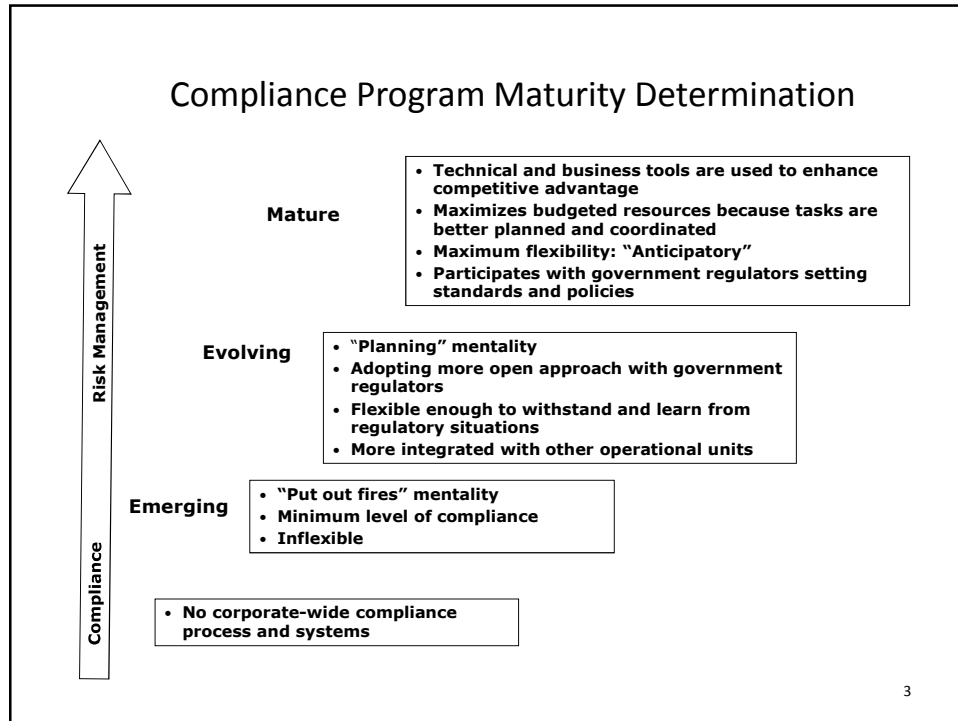
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## **Compliance Effectiveness: Reporting through Dashboards**

**Lynda Hilliard, CHC, CCEP, MBA, RN  
Principal  
Hilliard Compliance Consulting, LLC**

### **Session Objectives**

- Understand the key elements of a compliance program dashboard
- Identify strategies to prioritize data to be reported based upon compliance risk
- Develop a baseline compliance dashboard
- Evaluate the “usefulness” of the data reported



## Why Dashboards?

- Dynamic management tool to gauge performance and progress toward specific goals.
- Spans multiple dimensions of organization impacting regulatory compliance.
- Ability to identify trends, issues in "real time" – thereby helping to optimize timeliness and productivity in mitigating the issue.

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## Key Elements of an Effective Dashboard

*Dashboards may look like other tracking mechanisms, but tend to be more:*

- Predictable - reporting schedule
- Consistent format
- Not used as an accounting measure, but more a management tool
- Useful as a method to streamline information collection and sharing.



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## Potential Areas to Measure

- |  |                                  |
|--|----------------------------------|
| 1. Alignment with Organizational Mission | 5. Cycle Time Reduction          |
| 2. Meeting Regulatory Requirements       | 6. Meeting Commitments           |
| 3. Quality of "Product"                  | 7. Timely Response               |
| 4. Cost Reduction and/or Avoidance       | 8. Employee Knowledge of Program |

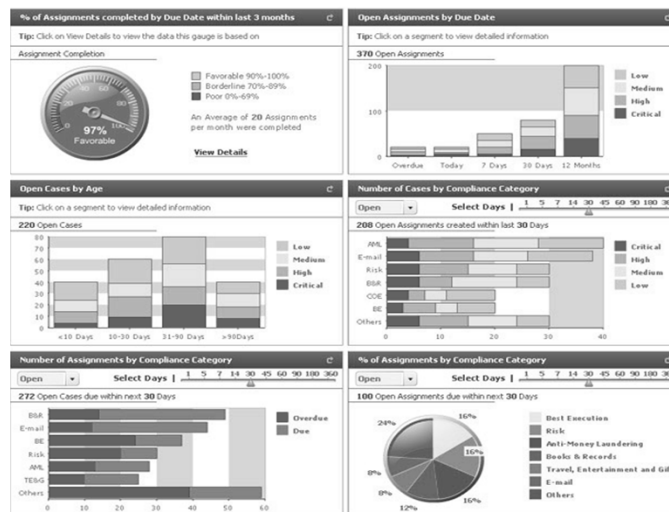
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## Data Sources and Challenges

- Reliability and validity of data
- Ongoing data requirements
  - Ability to have data automatically reported to compliance vs compliance having to request data
  - Time and productivity element of data collection and reporting
  - Turf Issues related to data sharing (e.g, Risk Management, HR, IT etc)

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## Sample Dashboard Formats



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## Key Dashboard Indicators – New Programs

- Signed Acknowledgement Forms Submitted/Total Number of Employees
- General Training Completed/Total Number of Employees
- High Compliance Risk Training Completion/Total Universe Required
- LEIE Screening Completed at Time of Hire/New Hires during Period
- Provider Credentialing Completed/Number up for renewal

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## Key Dashboard Indicators – New Programs

- Dept Submission of Compliance Work Plans/Total Number of Depts
- Conflict of Interest Statements Submitted/Universe Required
- Compliance Committee Meetings with Quorums/Total Compliance Committees
- HIPAA Breach Reports

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## Key Dashboard Indicators – Emerging Programs

- Signed Acknowledgement Forms Submitted/Total New Employees
- General Compliance Training Completed for Current Year/Total Employees
- LEIE Ongoing Screening Completed per Reporting Period/Universe of those Required
- Provider Credentialing

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## Key Dashboard Indicators – Emerging Programs

- Conflict of Interest Statements Submitted
- Medicare/Medicaid Denial Rate – YTD
- RAC Audits – YTD
- Rate of RAC claims approved – YTD
- HIPAA/Privacy Breach Reports

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## Key Dashboard Indicators – Mature Programs

- Mandatory Training Completion/Total Employees
- Substantiated Hotline Issues/Total Relevant Calls
- HIPAA Breaches Substantiated/Total Number Reported
- Medicare/Medicaid Denial Rate – YTD
- Rate of RAC claims approved – YTD
- Prioritized Risk Issue(s)/relevant universe

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## Other Indicators

- Health Systems
- Managed Care
- Behavioral Health
- Rehabilitation
- Home Health/Hospice
- Skilled Nursing
- Others



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## Next Steps

### Evaluate Dashboard Effectiveness

1. Annually review the currency of the indicator being monitored
  - ✓ Is it still relevant? Or has the problem been solved?
  - ✓ Report on the progress of the risk mitigation (Annual Report report of success/need for more work) through a more detailed analysis of the submitted data.

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## Next Steps

2. Update Dashboard with items of “value” to management and compliance
  - ✓ Based on risk assessment or identification of potential high area(s).

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# Questions

For more information:

Lynda Hilliard

[lshilliard1980@gmail.com](mailto:lshilliard1980@gmail.com)

530-925-1024

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