



Regional Conference – Kansas City, KS
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Compliance Effectiveness: Reporting through Dashboards

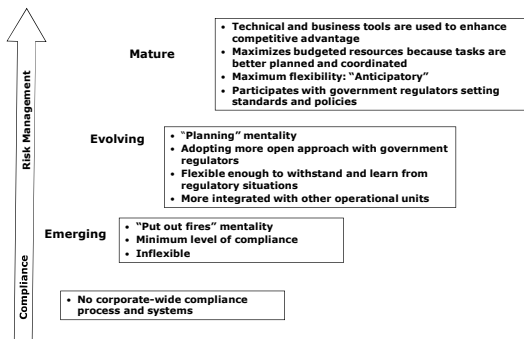
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Session Objectives

- 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

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Compliance Program Maturity Determination



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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 |

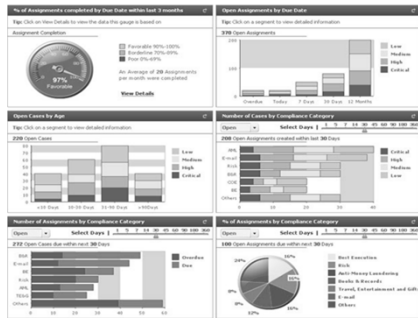
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Data Sources and Challenges

- 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

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