Today’s Objectives

• Discuss what to do even before the CIA is finalized
• Discuss how to get past the “This isn’t fair” phase
• Discuss how to make the most of the expertise of the OIG, the IRO, Quality Monitor, Compliance Expert.
• Discuss tips on implementing a CIA
Role of the Compliance Officer

• OIG Perspective
  • Should be involved in all facets of negotiations and implementations
  • Primary contact with the OIG during CIA period
  • An experienced Compliance Officer is a great asset.
Role of the Compliance Officer

• Provider Perspective
  • Must be involved in all facets of negotiations and implementation
• Face of the Company
• Voice of Compliance (outward facing and behind the scenes)
• Biggest compliance cheerleader

Settlement is Imminent, Now what?
Settlement and CIA are imminent, now what?

• OIG Perspective:
  • Negotiations take up to a year – use this time to prep
  • Review other CIAs
  • Evaluate current Compliance Program
  • Evaluate current CCO
    • If a change is necessary; do it before the CIA is signed
  • CCO needs to be part of the CIA negotiations

Settlement and CIA are imminent, now what?

• Provider Perspective:
  • CCO needs to be a part of all negotiations
  • Review other CIAs and your current CIA drafts
  • Create a basic plan from the draft CIA requirements
  • Complete a mini-gap assessment comparing CIA requirements and current Compliance Program
  • Begin discussing implementation strategies
  • Begin discussing resource needs (People and costs)
Relationships and Attitude Matter

• OIG Perspective:
  • OIG “contact” is transferred from Negotiator to Monitor
  • Get to know your OIG Attorney ASAP
  • Set-up a call or meeting to discuss expectations
  • Good First Impressions Count – Attitude
Relationships and Attitude Matter

• Provider Perspective:
  • Feeling frustrated
  • Feeling overwhelmed

Relationships and Attitude Matter

• Provider Perspective:
  • Critical to success of CIA implementation
  • Primary source for CIA clarification
  • Relationship will build
  • Always listen and follow up
Tips for Getting the Most From Your CIA

• Start Early
  • Plan
    • Requirements
    • Teams
    • Project Plan
• Calendar – When Will Reports Be Due?
• Initial Risk Assessment
Tips for Getting the Most From Your CIA

• Buy-In From Organization
  • Leadership
  • Board
• Communicate
• Purpose of CIA – Improve Compliance Program

Tips for Getting the Most From Your CIA

• Use Your Compliance Committee
  • Who Will Be On It?
  • Make It An Active Resource
  • Eyes and Ears
  • Involve in Every Aspect of Risk Assessment
  • Use to Make Case that Compliance Adds Value
Monitors, IROs, OIG – Resources?

• OIG Perspective:
  • OIG – Resource for CIA Terms
  • IRO, Expert, Quality Monitor
    • Choose wisely if you select
    • You’re paying for them – so make the most of them
    • Get them to help you with your biggest risks

Monitors, IROs, OIG – Resources?

• Provider Perspective:
  • Yes, Yes, Yes
  • Compliance Experts
  • Industry Experts
  • Expensive, why not get the most out of the money you are spending?
CIA survival tips

• OIG Perspective:
  • CIA: Tool or Burden?
  • Communicate with OIG Contact
  • Be Transparent with OIG Contact
  • Plan Long Term From the Start
  • What is the End Goal?

CIA survival tips

• Provider Perspective:
  • Don’t waste too much time feeling sorry for yourself
  • Leverage every resource
  • Listen, listen, listen,
  • Learn, learn, learn
  • Grow, grow, grow
Five Years Later…

Was It A Success?

- OIG Perspective:
  - Do You See Lasting Change?
  - Did You Get Most Out of CIA?
  - Do You Know Where Your Compliance Program Goes Next?
  - Is Your Leadership With You?
CIA is completed, now what?

- Provider Perspective:
  - Celebrate the strides you have made
  - Continue with your improved culture
  - Continue use of new or improved compliance tools
  - Celebrate

Benefits of having a CIA?

- Provider Perspective:
  - Expert resources you may not have had access to previously
  - Possibly new department resources
  - Compliance may become a higher priority to the organization
QUESTIONS

Contact Information

Laura Ellis
Office of the Inspector General
Senior Counsel
Laura.ellis@oig.hhs.gov

Donna J. Thiel
ProviderTrust
Chief Compliance Officer
Director, Compliance Integrity Division
dthiel@providertrust.com