



OIG Report Webinar

July 21, 2011

David Rudich, Office of Inspector General
Barbara Dieker, Administration on Aging
Ginny Paulson, SMP Resource Center
Heather Flory, SMP Resource Center



Overview of SMP 2010 Report and First Half of 2011 Report Submission

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2010 SMP Program Results Since 1997

- Over 24,000 active volunteers trained
- Over 3 million beneficiaries attended group education sessions
- Over 1.1 million one-one counseling sessions
- Over 27,000 complex issues received
- Over \$9 million total dollars based on complex issues referred for further action
- \$4.6 million Medicare Dollars Recovered
- Almost \$106 million in Total Savings

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2010 SMP Program Highlights

- Trained over 4,900 active volunteers
- Conducted over 70,000 one-on-one counseling sessions
- Held over 8,300 group education sessions
- Over 90,000 simple inquiries received (87,951 resolved)
- Over \$1.4 million total dollars based on complex issues referred for further action
- Recovered over \$22,000 Medicare funds
- Total savings to Medicare, Medicaid, beneficiaries and others were over \$39,000

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Overall Highlights

- The projects had 12 percent increase in the number of active volunteers in 2010, compared to the number in 2009. Specifically, the projects had 4,964 active volunteers, compared to 4,444 in 2009.
- Despite an increase in active volunteers, total savings to Medicare, Medicaid, beneficiaries and other decreased in 2010, compared to 2009. Specifically, totals savings decreased from \$214,060 in 2009 to \$39,031 in 2010.

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January-June 2011 SMP Performance Period

- As done for the last retrieval period, the OIG will retrieve SMP reports directly from SMART FACTS.
- SMPs **do not** need to send the reports to the OIG by email or fax
- The January –June 2011 Performance Reports (including all appropriate documentation for Performance measures 16 and 17A-D) should be ready for retrieval in SMART FACTS **by July 31, 2011 at 5:00 p.m. EST. Please note that July 31st is a Sunday, so I will be retrieving the report at 8:00 a.m. EST on Monday, August 1st.**

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Reminders

- An email was sent on July 5, 2011 to all SMP Grantees informing them about the January-June 2011 Report submission deadline.
- A reminder email will be sent the last week of July 2011.
- We strongly encourage all SMPs to finish inputting data into SMART FACTS before the report retrieval.
- *If you think you will not have your OIG report ready for my retrieval in SMART FACTS the last week of July, please contact me prior to the due date by email and provide an explanation.
- All documentation on the funds recovered or avoided should be uploaded into SMART FACTS via a PDF or DOC file. If you need assistance, please contact The Center.

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First Semi-Annual Report Retrieval

SMART FACTS Operations Manual, Chapter 7 (Pgs 19-23)

Rationale:

- Look for overall trends nationwide
- Target technical assistance to SMPs, as needed
- Discover areas of needed improvement within the reporting system as a whole.
- Analyzing the data mid-year provides time to find and correct any misunderstandings and make system improvements prior to the end of the calendar year.

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Second Semi-Annual Report Retrieval

SMART FACTS Operations Manual, Chapter 7 (Pgs 19-23)

Rationale:

- Retrieval of 12 months of data will ensure greater accuracy, and avoids overlapping figures in certain OIG measures. For example, Total Active Volunteers.
- Used to compare 12 months reports to the two 6-month reports as an additional quality check, keeping in mind some of these overlapping performance measures. (Only Annual totals are now reported in the OIG report)

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AoA Analysis of 2010 OIG Report Results

Barbara Dieker,
Director of Elder Rights
AoA

AoA Perspective on 2010 OIG Report: Key Increases from 2009 to 2010

	<u>2009</u>	<u>2010</u>	<u>% Change</u>
Active volunteers	4,444	4964	12%
Vol. training hours	47,886	53,878	13%
Volunteer work hours	122,410	129,662	6%
Comm. outreach events	5,684	6,231	10%
Group Ed. sessions	7,177	8,300	16%
Attended Group Ed. Sessions	217,227	298,097	37%
Simple inquiries resolved	59,938	87,951	47%
1-on-1 Counseling	33,855	70,789	109%

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AoA Perspective on 2010 OIG Report: Key Decreases from 2009

	<u>2009</u>	<u>2010</u>	<u>% Change</u>
Complex issues received	3,052	2,273	-26%
Complex issues referred	966	922	-5%
Dollar amount referred	\$3.762M	\$1.484M	-61%
Cost Avoidance	\$564,968	\$248,064	-56%
Medicare funds recovered	\$76,176	\$22,262	-71%
*Total Savings	\$214,060	\$39,031	-82%

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Reflections on the Data

- **Impact of Capacity Building Grants**
 - Time and energy dedicated to volunteer involvement and outreach and education pays off!
 - Overall gains toward SMP mission of empowering seniors
- **Dollar Amount Referred for Further Action (13B):**
 - Between 2008 and 2009, this outcome increased by 38%, due to intervention by The Center to assist with data entry errors
 - Was the 61% 2010 reduction actual, or partially related to data entry error?
 - Will be important to take advantage of Center training for assistance with accuracy of this outcome in 2011
- **Outcomes 16 – 17D are dependent upon documentation, which SMPs report is very difficult to obtain**

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FY2011 SMP Performance Measure for HHS

- SMP Projects will increase the number of beneficiaries educated or served over FY 2010
- Reported Quarterly
- Total of Outcomes 8, 9, 10, 12
 - 8 = # Beneficiaries attending Group Education Sessions
 - 9 = # Beneficiaries served in 1-on-1 Counseling Sessions
 - 10 = # Simple Inquiries received
 - 12 = # Complex Issues received

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FY2011 Results (Cumulative)

- **First Quarter:**
 - Target: 75,000 beneficiaries
 - **Result: 148,290**
- **Second Quarter**
 - Target: 150,000 beneficiaries (this is cumulative)
 - **Result: 226,012**
- **Third Quarter:**
 - Target: 225,000 beneficiaries
 - Result: to be provided August 1, 2011
- **Fourth Quarter**
 - Target: 300,000 beneficiaries
 - Result: Available Nov. 1, 2011

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Highlights and Observations - National

Positive:

- The 2010 OIG Report reflects increases in the areas emphasized in the SMP Capacity Building Grants
 - Volunteer Outcomes
 - Outreach
- The 2010 OIG Report reflects a continuing trend toward overall improved accuracy. It lacks, for most of the measures anyway, drastic fluctuations from the previous year. It appears to be a much more reliable reflection of SMP performance.

Negative:

- Complex Issues outcomes continue to decrease

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Highlights and Observations – State by State

Positive:

- Nearly every state has active volunteers; most with increases
- Nearly every state trained volunteers in 2010, compared to several reporting no training in 2009
- Overall increases in outreach and education efforts

Negative:

- 20 states with fewer than 5 referrals
- 37 states with zeroes for outcomes 16 – 17D

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Highlights and Observations – State by State Disparity Still Evident

- Report highlights wide disparities in SMP performance:
 - Active volunteers: Range from 0 to 386 per state
 - Volunteer Training hours: Range from 0 to 6,488 per SMP
 - Volunteer work hours: Range from 0 to 32,772 per SMP
 - Community Education events: Range from 4 to 529 per SMP
 - Group Education Sessions: Range from 2 to 873 per SMP
 - 1-on-1 Counseling Sessions: Range from 0 to 14,885 per SMP
 - Complex Issues Received: Range from 0 to 373 per SMP
 - Complex Issues Referred: Range from 0 to 96 per SMP
 - Dollar value of referrals: Range from 0 to \$243,234 per SMP

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New! 2011 Reporting Timeline

Data entry
deadline:
1/31/12

Data Accuracy
Checks:
February 2012

OIG Retrieves
Report:
2/28/12

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Future Directions and Focus

- SMP Evaluation
 - Designed – FY 2011
 - Undertaken – FY 2013
- AoA asked to measure SMP Return on Investment (ROI)
- AoA and OIG Hotline
 - Two new measures to be added for 2011

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Collaboration and Documentation

David Rudich
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Email address:
David.Rudich@oig.hhs.gov

New Collaboration – 2011

- AoA and OIG Office of Investigations agreed to allow SMPs to make referrals directly to the OIG Hotline.
- In June 2011, we met with our Office of Investigations and developed two new performance measures.
 - 1) **Total SMP referrals to the OIG Hotline.**
 - 2) **Total amount of monetary recoveries based on cases attributable to these referrals.**
- Both measures aggregated for all SMPs and reported on annual basis.
- New measures reported in next annual SMP report published in May 2012.

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Documentation

Examples of documentation for Medicare, Medicaid or Beneficiary Dollars recovered include:

- ✓ Letter from contractor or investigative agency (i.e. ZPICs, PSCs, MEDICs, State agencies, CMS, DOJ, etc.)
- ✓ A copy of a cancelled check, corrected hospital billing statement, or letter or check from other provider types includes physicians, DME suppliers, etc.
- ✓ *****Only for 17c** “Dollars recovered at the beneficiary level”- acceptable documentation can be a statement signed by the beneficiary with a threshold under a \$100.00.

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Un-Acceptable Documentation

- If not supportable, do not put those dollar figures into the report. These cases can roll-over to the next year so you can get credit the next period.
- Reminder: *All dollar amounts reported in performance measures 16 and 17A-D should have accompanying documentation to support it. If it does not have the support, the OIG won't accept it and the number will be taken out of the report.
- Make sure you have accounted for documentation for all of the dollar amounts cited in the report especially if the dollar amounts represent multiple cases.
- Do not provide documentation for 13B Total dollar amount referred for further action.

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Reminders

- Cross Check your OIG Report from SMART FACTS against your own records/documentation for any discrepancies.
- Provide documentation to support proof of cost avoidance or recovered dollars only- (**Reminder—Due with OIG report on July 31, 2011**)
- Nothing should be sent via fax or email from the SMPs, except documentation on cost recoveries or avoidances that could not be scanned and uploaded into SMART FACTS. Please contact David Rudich prior to sending this documentation.

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Performance Measure 16: Cost Avoidance

- Definition of Cost Avoidance:
 - Based on the work of SMP, a provider or beneficiary was not subject to a payment. There was no actual payment made. This is the difference between the cost avoidance performance 16 versus cost recoveries 17A-17D.
- Documentation includes,
 - Letters or cases from CMS or an investigative agency (i.e. ZPIC, PSC or MEDIC) showing that the work from the SMPs led to significant cost savings to the Medicare, Medicaid, etc. or health care programs without the recoupment of dollars back to the Trust Fund

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Performance Measure 16: Cost Avoidance, *continued*

- Cost Avoidance and recover dollars is not for beneficiary counseling (i.e. simple inquiry) but derived from a complex issue.
- Documentation: No general summary or signed beneficiary statement is acceptable. If no support, those dollar figures should be taken out of the report. An option is to put that info in 13B – dollar amount referred for further action.
- Examples of additional acceptable documentation include:
 - Copy of the revised billing statement (i.e. hospital or physician's office) showing a zero balance is sufficient documentation for cost avoidance

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OIG Report Accuracy; Resource Center Support

Ginny Paulson & Heather Flory,
SMP Resource Center

OIG Report Data Accuracy Checklist

- Center created and disseminated in December 2010
 - E-mail
 - Center website
- Updated in June 2011 to reflect SMART FACTS upgrades
- Webinars scheduled
- Tutorials will be offered again

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“It’s Only a Matter of Time” (Tips to accurate Complex Issue Outcomes)

- Date fields found on **SMP Activity Log** affect the following outcomes:
 - #12 (Date of Initial Action)
 - #13A (Date of Follow-up Action where there was a Referral)
 - #13B (Date Dollars Referred for Further Action)
 - #14 & #15 (Date of Status Update)

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Outcome #12 – Complex Issues Received

a) **WAS** the date on the Complex Issues form

SOFTWARE® ADA
Heather Flory - SMP Maryland Working Template: Issues and Inquiries [C]
Quick Search To Do List Messages My Favorites My Dash
Search Term(s) within Participant in Issues and Inquiries
Form for Hernandez, Fake on Mar 7 2010
Form
ment Identifier: FH213355-1
Primary Issue SMP Activity Log Re

b) **NOW**: The “Initial Date of SMP Action” on the SMP Activity Log

SMP Initial Action
Initial Date of SMP Action
Mar 1 2010
Action Taken by SMP (check all that apply)
 Referral (always check this box if your action incl
 Send release of info form and request documents
 Contact CMS Regional Office
 Contact Medicare PSC or Medic Contractor
 Contact MFCU or Medicaid Office
 Contact 1-800-Medicare
 Contact provider/ practitioner
 Contact secondary insurer/plan

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Accurate Outcomes #16 & #17

When you enter dollars for savings and recoveries,
you MUST:

1. **UPLOAD** documentation
2. **CLOSE** the case

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OIG Report *By User*

- Currently cannot be generated by site managers on behalf of other staff
- We recommend that SMP Directors overseeing data quality ask their SMART FACTS users to generate this report and submit to SMP Director
- Note: This report is not available to users with the Staff role; it is only available to users with the Program Manager role

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Resource #1: SMART FACTS Training

Self-study via The Center website

- www.smpresource.org > *Resources for SMPs > Training > SMART FACTS Training*
 - Recordings
 - Job aids & other handouts

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Resource #2: OIG Reports Training

Self-study and more, via The Center website

- www.smpresource.org > *Resources for SMPs > Training > OIG Reports Training*
 - OIG Report Data Accuracy Checklist – *Revised 7/6/11*
 - Data Analysis Worksheet / Template – *Revised 7/6/11*
 - Appendix C – OIG Report Definitions & Guidance – *Revised 4/1/11*
 - Steps for Generating an OIG Report
 - **OIG Reports Training Materials**
 - **OIG Reports Webinar Recordings and PowerPoint Handouts**

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Resource #3: OIG Report Checklist Webinars and Tutorials

- OIG Report Data Accuracy Checklist **Webinars**
 - **Outcomes 1 – 11**
Tuesday, September 27, 2:00 – 3:30 p.m. ET
 - **Outcomes 12 – 17D**
Wednesday, October 19, 3:00 – 4:30 p.m. ET
- OIG Report Small Group **Tutorials**
 - Dates and times to be announced September 27

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Resource #4: SMART FACTS Support from SMP Resource Center Staff

- Heather Flory: 319-427-1022, hflory@smpresource.org
 - OIG Outcomes # 1 – 11
 - Data Entry Instruction
 - Training Options
 - *Site Manager* Questions
 - Ginny Paulson: 319-358-9402, gpaulson@smpresource.org
 - OIG Outcomes # 12 – 17D
 - Referrals
- Can't get logged on? Contact Social Solutions
Customer Service at 1-866-732-3560, ext. 2**

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Questions & Answers