OIG Report Data Accuracy Checklist

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OIG Report Data Accuracy: Checklist for Outcomes 1- 11

Step 1: Access OIG Report Data

☐ Retrieve your SMP's previous year OIG report data for comparison purposes.

- The final 2010 OIG report data can be found at www.smpresource.org: **Resources for SMPs > OIG Reports > May 2011 OIG Performance Report**

☐ Generate and print a copy of the current OIG Performance Report from SMART FACTS, using the appropriate date range for the time period under review.

- From any program, select **Reports > Letters, Forms & Reports > OIG Performance Report**
- If you are doing a preliminary analysis during 2011, repeat this process once all 2011 data has been entered.

Step 2: Review your SMP's data overall

☐ Look for dramatic changes from past year to current year's data

☐ Look for red flags (areas of question or concern) or data which doesn't make sense

- For OIG Report Definitions and Guidance, see Appendix C of the SMART FACTS manual at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Operations Manual > Appendix C**

☐ Pull cross-checking reports as needed to further investigate red flags and other data

- Reminder: Only one Crystal Report can be open at a time.
- For more information and instruction, see chapter 7 of the SMART FACTS manual at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Operations Manual > chapter 7**

☐ Correct errors as needed, and be prepared to explain any unusual data to the OIG!

Step 3: Review each outcome in detail

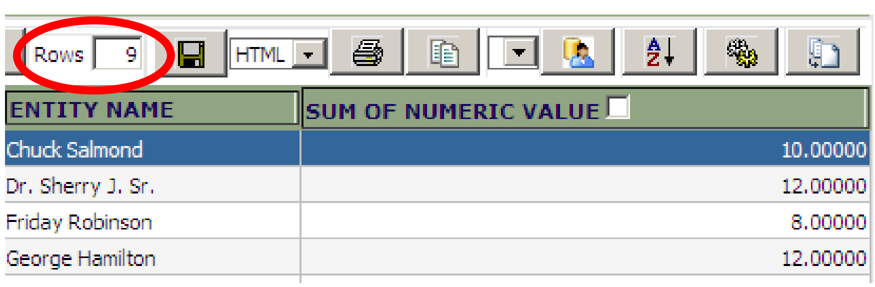
Tip: Make note of "red flags" (areas of question or concern) as you review your data!

Outcome 1: Total number of active volunteers

- ☐ Based on your knowledge of your SMP's work, does the total number of active volunteers seem accurate?
- ☐ Is all volunteer time entered? Adding a new volunteer to SMART FACTS does NOT in itself ensure that their hours will be included on the OIG report. A volunteer does not count as "active" on the OIG report unless training and/or work hours have been entered in SMART FACTS for the reporting timeframe.
- ☐ Make sure that all individuals entered in the volunteer tracking and management program meet the OIG definition of an SMP volunteer:
    - "Individuals who donate their time to assist with implementing the SMP program. Volunteers are trained to perform SMP work, which is conducted during their own personal time. They do not get paid by anyone during the time they perform this work."
    - For more information, see the SMART FACTS Manual, Appendix C: OIG Report Definitions and Guidance, "clarifications" section (page 3, outcome #1).
    - If individuals who are not volunteers are entered as volunteers in error, please contact The Center for assistance.
- ☐ Use the following cross-checking report to see which volunteers are included in the total for outcome #1:
    - **Query Report: Volunteer Hours by Volunteer**

      Reports > Letters, Forms & Reports > Query Reports > Volunteer Hours by Volunteer (or Volunteer Hours by Volunteer and Sub-Type)

      Note: The number of rows indicates the number of volunteers.



Outcomes 2 & 3: Total number of volunteer training hours and work hours

- ☐ Is the ratio of volunteers to volunteer work and training hours reasonable for your SMP?
- ☐ Is all volunteer time entered? Training and/or work hours will not show on the OIG report unless they have been entered in SMART FACTS for the reporting timeframe.
- ☐ Is all volunteer time entered in quarter-hour decimals? Odd decimals may indicate a data entry error (i.e. maybe .15 should really be 1.5). In the volunteer tracking & management program,
    - 1 = 60 minutes
    - .75 = 45 minutes
    - .5 = 30 minutes
    - .25 = 15 minutes
- ☐ Use the following cross-checking reports to see details regarding volunteer work and training hours:
    - **Volunteer Work Rates Report** (total number of hours worked, by type of work)

      Reports > Letters, Forms & Reports > Volunteer Forms & Reports > Volunteer Work Rates Report

Type of Work	Rate	Number of Hours
Training - Initial Program Training/Orientation	$25.92	21
Training - Program Updates	$11.82	0
Volunteer Work - Office Admin/Clerical	$11.82	70
Volunteer Work - One on One Counseling	$19.01	16

    - **ETO Report** (number of hours worked by each volunteer, by type of work and date)

      Volunteer Tracking & Management Program > ETO Report > Volunteer Partner Work Report > Track Volunteer Hours / Submit > Select dates / Run Report > Show Details

Entity	Date of Contact	Contact Location	Staff Name	Value
Chuck Salmond	12/10/2010	Volunteer Work - Community Event Management	Heather Flory	4.00
Chuck Salmond	12/20/2010	Volunteer Work - Office Admin/Clerical	Heather Flory	6.00
Dr. Sherry J. Sr.	12/20/2010	Volunteer Work - Office Admin/Clerical	Heather Flory	8.00

Outcome 4: Total number of media airings

- ☐ Based on your knowledge of your SMP's work, does the total number of media airings seem accurate?
- ☐ Make sure that each entry meets the OIG definition of "media airings":
  - "Any individual airing or publishing of media (e.g. print, radio, television, or electronic) to educate about Medicare/Medicaid fraud and the services of the SMP program."
  - Tips:
    - Media airings must be actually published or aired to be considered an event (not simply developed).
    - Count each documented time a media effort is aired or published.
    - Do NOT count the number of people receiving the media.
  - For more information, see the SMART FACTS Manual, Appendix C: OIG Report Definitions and Guidance, "clarifications" section (page 3-5, outcome #4).
- ☐ Use the following cross-checking report to see details regarding media airings:
  - **ETO Report** (number of media airings, by date)

    Outreach & Education Program > ETO Report > Inquiry/Outreach Report > Number of Airings / Submit > Select dates / Run Report > Show Details

Program	Date of Contact	Contact Location	Staff Name	Value
Outreach and Education	12/01/2010	electronic	Heather Flory	2.00
Outreach and Education	12/15/2010	electronic	Heather Flory	10.00

Outcome 5: Number of community outreach education events conducted

- ☐ Based on your knowledge of your SMP's work, does the total number of community events seem accurate?
- ☐ Make sure that each entry meets the OIG definition of a "Community Outreach Event":
  - "Any education activity conducted by SMP staff or volunteer that is not a group education session, one-on-one counseling session, or media airing."
  - For more information, see the SMART FACTS Manual, Appendix C: OIG Report Definitions and Guidance, "clarifications" section (page 5, outcome #6).

- [ ] Use the following cross-checking reports to see details regarding community events:
  - **Review My Efforts** (see details regarding data entered by you)

    Outreach and Education Program > My Work > Review My Efforts
  - **Review Staff Efforts** (see details regarding data entered by others at your SMP)

    Outreach and Education Program > Program Administration > Review Staff Efforts
  - For instructions to access these reports, see the SMART FACTS job aid – "My Work: Reviewing & Editing your Data" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**

Outcome 6: Estimated number of people reached by community outreach

- [ ] Is the ratio of people reached per event reasonable for your SMP, and does your count meet the following guidelines?
  - Count the number of people that come to your booth and/or receive materials with SMP information.
  - Do NOT count the entire attendance for events at which your SMP was only one participating guest organization of many.
    - However, if each participant at a conference or fair is given SMP information as part of their conference bag or materials (SMP flyers, brochures, etc.), the total number of participants at the event can be counted as the "estimated number of people reached".
  - Distributing materials to locations or events that are not staffed by SMPs are not reportable as a community event to the OIG; instead, report this as a dissemination activity to AoA.
- [ ] Use the following cross-checking report to see details regarding people reached by community events:
  - **ETO Report** (Estimated Number of People Reached)

    Outreach & Education Program > ETO Report > Inquiry/Outreach Report > Estimated Number of People Reached / Submit > Select dates / Run Report > Show Details

Outcome 7: Number of group education sessions for beneficiaries

- ☐ Based on your knowledge of your SMP's work, does the total number of group education sessions seem accurate?
- ☐ Make sure that each entry meets the OIG definition of a "group education session":
  - "Formal gatherings led by SMP staff or volunteers to educate recipients, family members, caregivers, and others on detecting fraud, waste and abuse in the healthcare system and services offered by the SMP Program."
- ☐ Use the following cross-checking reports to see details regarding group education sessions:
  - **Review My Efforts** (see details regarding data entered by you)

    Outreach and Education Program > My Work > Review My Efforts
  - **Review Staff Efforts** (see details regarding data entered by others at your SMP)

    Outreach and Education Program > Program Administration > Review Staff Efforts
  - For instructions to access these reports, see the SMART FACTS job aid – "My Work: Reviewing & Editing your Data" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**

Outcome 8: Number of beneficiaries who attended group education sessions

- ☐ Is the ratio of people reached per session reasonable for your SMP?
- ☐ Use the following cross-checking report to see details regarding the number of beneficiaries who attended group education sessions:
  - **ETO Report** (Number of Persons)

    Outreach & Education Program > ETO Report > Inquiry/Outreach Report > Number of Persons / Submit > Select dates / Run Report > Show Details

Outcome 9: Number of one-on-one counseling sessions held with or on behalf of a beneficiary

- ☐ Based on your knowledge of your SMP's work, does the total number of one-on-one counseling sessions seem accurate?
- ☐ Make sure that each entry meets the OIG definition of "one-on-one counseling":
  - "A meeting between SMP staff or volunteer and an individual beneficiary and/or his or her family for the purpose of discussing or gathering information about potential healthcare fraud, waste, or abuse. One-on-one counseling sessions may include beneficiary counseling, information gathering, or information sharing."
  - Tips:
    - One-on-one counseling sessions can be entered one at a time or in batches on a monthly basis.
    - A one-on-one counseling session may be counted in addition to a group educational session and/or community / outreach event.
    - A one-on-one counseling session may later turn into a complex issue.
    - A one-on-one counseling session is considered more in-depth than a simple inquiry and is used to report incidents in which a beneficiary receives some type of individualized education from the SMP.
  - For more information, see the SMART FACTS Manual, Appendix C: OIG Report Definitions and Guidance, "clarifications" section (page 6-7, outcome #9).
- ☐ Use the following cross-checking reports to see details regarding one-on-one counseling:
  - **Review My Efforts** (see details regarding data entered by you)

    Outreach and Education Program > My Work > Review My Efforts
  - **Review Staff Efforts** (see details regarding data entered by others at your SMP)

    Outreach and Education Program > Program Administration > Review Staff Efforts
  - For instructions to access these reports, see the SMART FACTS job aid – "My Work: Reviewing & Editing your Data" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**

Outcome 10 & 11: Total number of simple inquiries received and resolved

- ☐ Based on your knowledge of your SMP's work, does the total number of simple inquiries received seem accurate?
- ☐ Make sure that each entry meets the OIG definition of a "simple inquiry":
    - "Brief contact initiated by a consumer and/or beneficiary that is resolved with minimal time and research or review. Simple inquiries typically do not require individual demographic or private personal information such as a Medicare number or information about a medical condition."
    - Tips:
        - Simple inquiries can be entered one at a time or in batches on a monthly basis.
        - Simple inquiries may later turn into a complex issue.
    - For more information, see the SMART FACTS Manual, Appendix C: OIG Report Definitions and Guidance, "clarifications" section (page 7, outcomes #10 & #11).
- ☐ Is the percentage of "simple inquiries resolved" what you expect for your SMP?
    - Make sure that a number value other than "0" has been entered for each simple inquiry for both question #5 (total number of simple inquiries) and question #6 (number of simple inquiries resolved).
    - For detailed information and instructions on this issue, see the SMART FACTS Tip Sheet – "Outcome #11: "Number of Simple Inquiries Resolved" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**
- ☐ Use the following cross-checking reports to see details regarding simple inquiries:
    - **ETO Reports:** Total Number of Simple Inquiries (Outcome #10) and Number of Simple Inquiries Resolved (Outcome #11)
    - **Review My Efforts** / **Review Staff Efforts:** For instructions to access these reports, see the SMART FACTS job aid – "My Work: Reviewing & Editing your Data" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**

Step 4: Correct data as needed

- ☐ For instructions to edit data in SMART FACTS, see the SMART FACTS job aid – "My Work: Reviewing & Editing your Data" at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**
- ☐ For instructions to correctly enter data in SMART FACTS, see the SMART FACTS recordings and job aids on the corresponding topic(s) of data entry, available at www.smpresource.org: **Resources for SMPs > SMART FACTS > SMART FACTS Training**

OIG Report Data Accuracy: Checklist for Outcomes 12 – 17D

Step 1: Create OIG Report Flat File

- ☐ Generate and print a copy of the *OIG Performance Report* from SMART FACTS, using the appropriate date range for the time period under review.
- ☐ Print a copy of the Flat File job aid so that the instructions are handy, available on the OIG Reports Training page of www.smpresource.org: http://www.smpresource.org/Content/NavigationMenu/ResourcesforSMPs/Training/OIGReportTraining/default.htm.
- ☐ Follow the instructions in the job aid to export the *OIG Report Flat File* into a new Excel document.

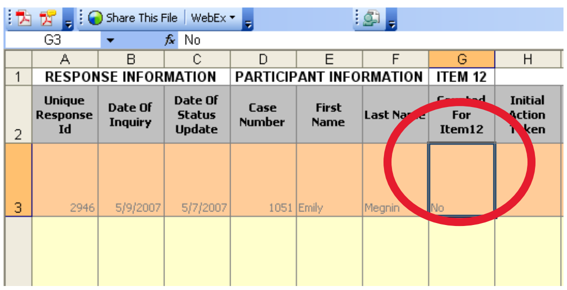
Step 2: Format the Excel file for easier viewing

Tip: View the flat-file reports on your computer instead of printing them out (they are NOT printer friendly). However, they can be made more "viewer-friendly" in Excel. Appearances vary depending on your version of Excel. The screen shots below are from Excel 2004.

☐ When pasting OIG data into a newly opened and blank Excel file, your FIRST click should be on the *Paste* icon (pictured below).

☐ Freeze panes to keep headings (rows 1-2) and case ID information (columns A-F) in view.

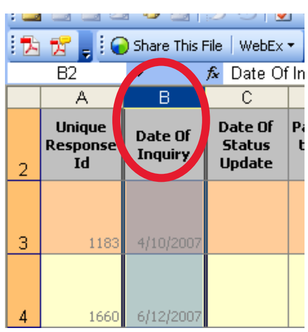
- Click the box in column G, row 3 (upon clicking, the box border will darken).



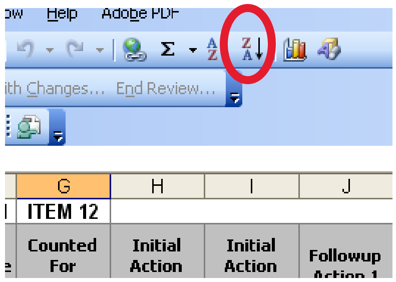
- Click ***Freeze Panes*** (Excel 2004: ***Window*** menu / Excel 2007: ***View*** tab).
- Columns A – F will remain in view as you scroll to the right.
- Rows 1-2 will remain in view as you scroll down.
- To unfreeze, click ***Unfreeze Panes*** (Excel 2004: ***Window*** menu / 2007: ***View*** tab).

☐ Sort by column headings, as needed, to review data.

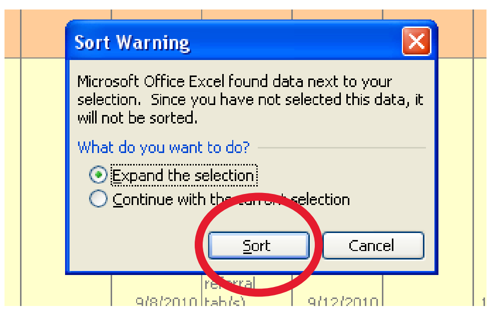
- Click the letter above the column heading to select the column (i.e. click column B to sort by date of inquiry). The entire column will be grayed out once selected.



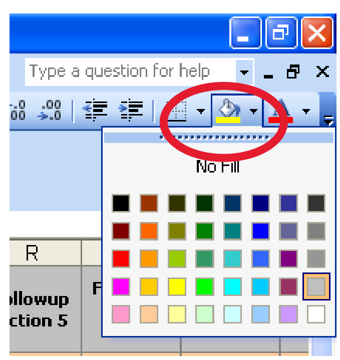
- Clicking the **Z-A** icon (circled below) is the best all-purpose option. It will:
  - Bring all dollar fields to the top of the list
  - Arrange dates from newest (top) to oldest (bottom)
  - Arrange text fields in alphabetical order, starting with *Open – Research in Progress by SMP*.



- Tip: When the "warning" below appears, do not be alarmed. Leave the green dot on "Expand…" and click on *Sort*. [To avoid a lengthy explanation, we'll just say this keeps the rows intact while you sort.]



☐ As you complete this checklist, highlight rows and/or columns in Excel of "Red Flag" items. This allows you to mark multiple issues in the OIG Report Flat File before accessing SMART FACTS to review or edit data.



  - Click the letter above the column heading to select the column (as described earlier). The entire column will be grayed out once selected.
  - Use the paint bucket icon to select a color and flag the case for follow up in SMART FACTS.

Step 3: Review each Outcome

Note: All of the data for outcomes 12 – 17D is housed in SMART FACTS on the complex issues form on either of two following tabs: the <u>SMP Activity Log</u> tab or the <u>Referrals for CMS Investigation</u> tab.

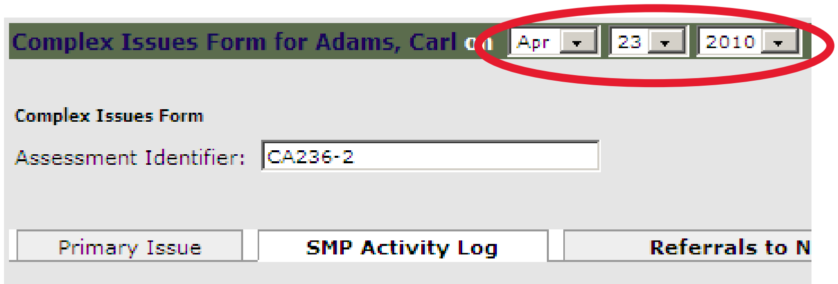
Outcome 12 – Number of complex issues received

- ☐ In Excel: Review column B and column G. A "Yes" or "No" in column G tells you whether or not the complex issue is appearing on the OIG report. If the "Date of Inquiry" (column B) is within the selected date range, there will be a "Yes" in column G.
  - Red Flag: If the date in column B is newer than date in column C, there is a data entry error. The date in column C is the date of the most recent update and should always be equal to or later than the date in column B.
    - Cause: SMP forgets to change the date at the top of the complex issues form to correspond with the initial date of action.
    - Example: Row 3 below contains this Red Flag. Row 4 does not.

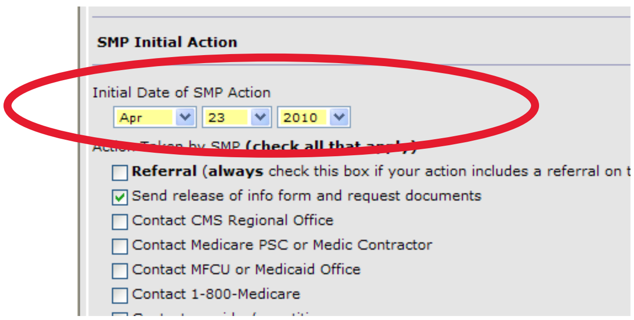
	A	B	C	D	E
1	RESPONSE INFORMATION			PARTICIPANT IN	
2	Unique Response Id	Date Of Inquiry	Date Of Status Update	Case Number	First Nam
3	2946	10/10/2010	8/1/2010	1051	Emily
4	29349	9/8/2010	10/22/2010	14523	Fred
5	29703	11/16/2006	11/18/2010	67	Scott

- ☐ Fix Red Flag in SMART FACTS: Find the complex issues form to update (using *Access Specific Issue* feature) and correct the date.

- The "Date of Inquiry" equals the date at the top of the complex issues form:

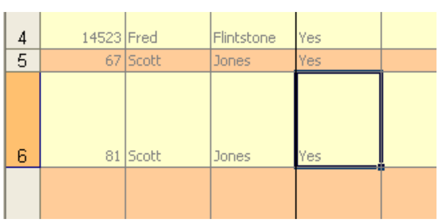


- The "Date of Inquiry" should correspond within a day or two to the "SMP Date of Initial Action," found near the top of the *SMP Activity Log*:



☐ In Excel: Review the names to see if there are duplicates. Some beneficiaries may have had multiple complex issues, which is perfectly fine in terms of the OIG report (though obviously not fine for the person impacted!). At other times, a case may have been entered multiple times, inflating outcome #12.

- Possible Red Flag: The same name appears twice. It may or may not be a mistake. However in this example, row 5 is very shallow, indicating a definite data entry error. All rows should be as deep as row 6 or deeper.

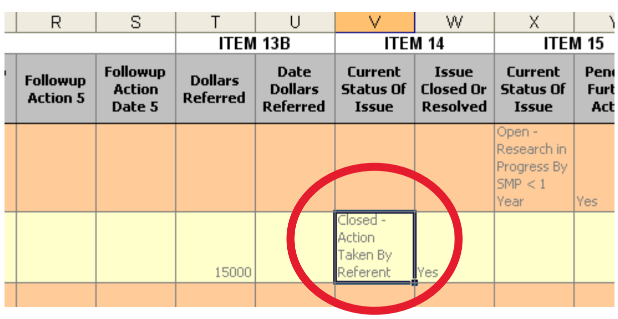


☐ In SMART FACTS: Find the complex issues form to update by name or case # (using *Access Specific Issue* feature), review the records, and edit as necessary. If you need to delete a duplicate and are unsure of the procedure, contact The Center (877-808-2468).

Outcome 13A – Number of complex issues referred for further action

☐ In Excel: Review columns H – S, which are subtitled “Item 13A.”

- Any row containing the phrase “*Referral* (*always* check this box if your action includes a referral on this date; document referral on appropriate referral tab/s)” within columns H – S that <u>also</u> has a <u>date</u> within the OIG report time period will count.
- They are easy to find because the row will be deeper than rows for cases without referrals.
- Each row will only count once toward the OIG report, even if there are multiple referrals indicated for that single case. For this outcome, the OIG counts the number of <u>cases</u> for which there was a referral, not the number of separate referrals made for a single case.
    - Red Flag: Review the status entries in columns V and X where a referral is indicated. Are those rows deep or shallow? If they are shallow, there is either a mistake in the status or someone forgot to check the “Referral” box on the SMP Activity log.
        - Example: Column V below indicates there was a referral, but the row is shallow. Mark this as a Red Flag and repair in SMART FACTS.

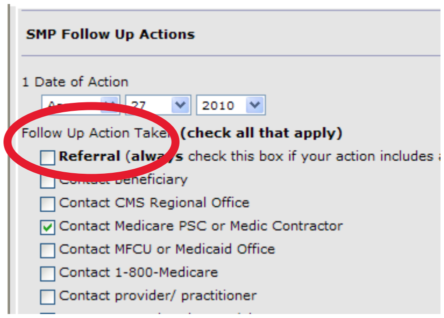


R	S	T	U	V	W	X	Y
		ITEM 13B		ITEM 14		ITEM 15	
Followup Action 5	Followup Action Date 5	Dollars Referred	Date Dollars Referred	Current Status Of Issue	Issue Closed Or Resolved	Current Status Of Issue	Pen Furt Act
						Open - Research in Progress By SMP < 1 Year	Yes
		15000		Closed - Action Taken By Referent	Yes		

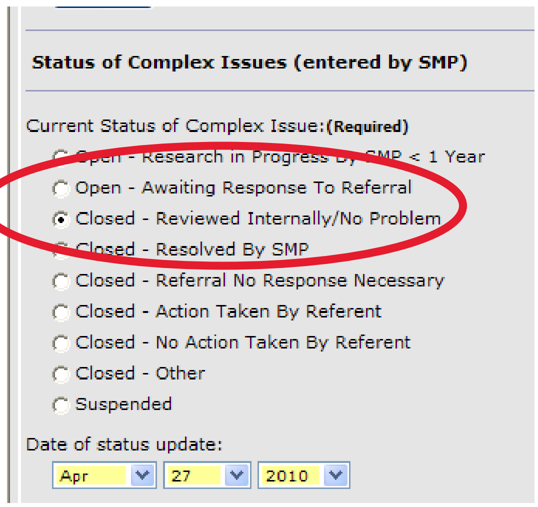
☐ Fix Red Flag in SMART FACTS:

- Find the complex issues form to update by name or case # (using *Access Specific Issue* feature) and do one of the following:

- Mark a "Referral" checkmark in the appropriate follow-up action field on the SMP Activity Log.



- **OR**, if the status <u>incorrectly</u> indicated a referral, based on your review of the case as a whole, edit the status to reflect that the SMP handled the case without a referral, like below:

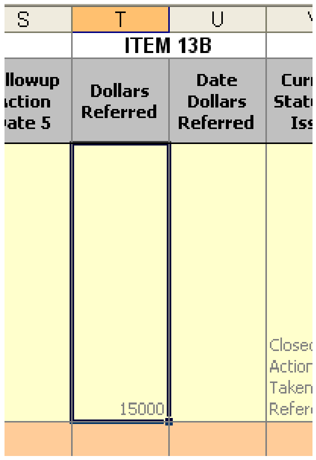


Outcome 13B – Total dollar amount referred for further action

☐ In Excel: Review columns T and U, which are subtitled "Item 13B."

- When a dollar value appears in column T, it MUST have an associated date in column U that is within the OIG report time period or it will not count toward outcome 13B.
    - Note: When the date associated with the dollars in column T is from a previous calendar year, those dollars will not appear in the current OIG report and therefore do not need review. Why are they included on the OIG Report Flat File then? Because another aspect of the case <u>is</u> affecting the OIG report, such as the status or a recent referral.

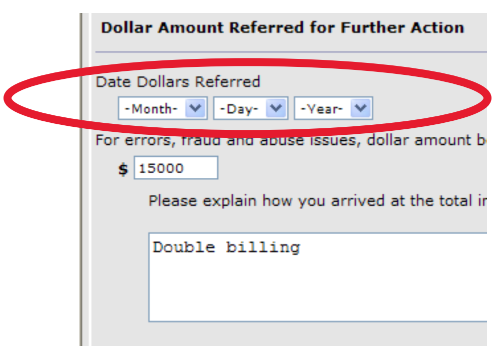
- Possible Red flag: Dollars appear in column T, but there is no date in column U (or there is a date but no dollars):



  - Next step: check the dates in columns B and C.
    - Is this a case received in the current report year? If so, it is worth fixing the data entry error in SMART FACTS.
    - Is this an old case where the dollars were referred in a previous year? If so, ignore this red flag, since it is too late to fix.

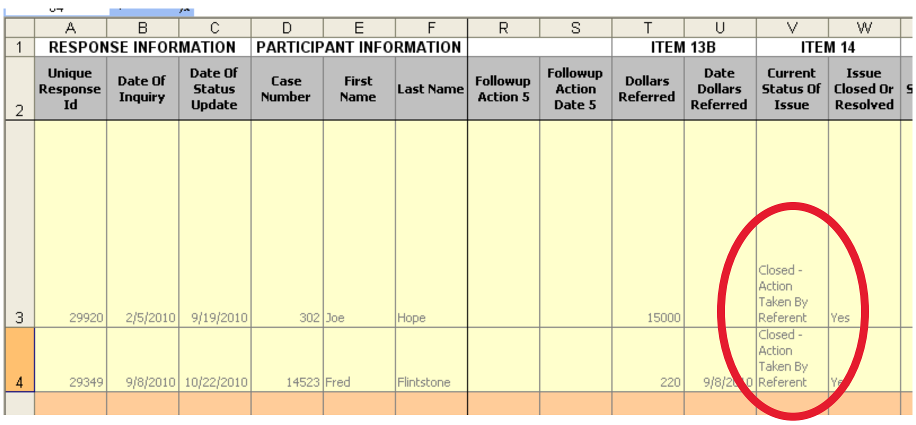
☐ Fix Red Flag in SMART FACTS:

- Find the complex issues form to update by name or case # (using *Access Specific Issue* feature).
- Go to the SMP Activity Log.
- Scroll to the bottom of the page and fix dollars or date field for this outcome. In the example here, the date field was left blank and needs to be completed:



Outcome 14 – Number of complex issues resolved

- ☐ In Excel: Review columns V and W, which are subtitled "Item 14." The status from the SMP Activity Log is in column V. Column W verifies that the case is contributing to outcome #14.
  - Any case with a "Closed" status is counted toward the OIG report. The total number of "yes" answers in column W will equal the number in outcome #14 of your OIG report.
  - Red Flag: Column V indicates there was a referral, but the row is shallow, not deep. This indicates a possible mistake affecting 13A (# of referrals). Otherwise, the wrong status was selected.
    - In the example below, row 4 contains the red flag, whereas row 3 looks correct.



	A	B	C	D	E	F	R	S	T	U	V	W
1	RESPONSE INFORMATION			PARTICIPANT INFORMATION					ITEM 13B		ITEM 14	
2	Unique Response Id	Date Of Inquiry	Date Of Status Update	Case Number	First Name	Last Name	Followup Action 5	Followup Action Date 5	Dollars Referred	Date Dollars Referred	Current Status Of Issue	Issue Closed Or Resolved
3	29920	2/5/2010	9/19/2010	302	Joe	Hope			15000		Closed - Action Taken By Referent	Yes
4	29349	9/8/2010	10/22/2010	14523	Fred	Flintstone			220	9/8/2010	Closed - Action Taken By Referent	Ye

- ☐ Fix Red Flag in SMART FACTS:
  - Find the complex issues form to update by name or case # (using *Access Specific Issue* feature).
  - Go to the SMP Activity Log.
  - Mark a referral checkbox or revise the status, as appropriate based upon your review of the case notes.

Outcome 15 – Number of complex issues pending further action

☐ In Excel: Review columns X and Y which are subtitled "Item 15." The status from the SMP Activity Log is in column X. Column Y simply verifies that the case is contributing to outcome #15.

- Any case with an "Open" status is counted toward the OIG report. The total number of "yes" answers in column Y will equal the number in outcome #15 of your OIG report.
- Red Flag: Column X indicates there was a referral, but the row is shallow, not deep. This indicates a possible mistake affecting #13A (# of referrals) or the wrong status was selected in the SMP Activity Log.
- Red Flag: Status is *Open - Research in Progress by SMP < 1 Year* but there has been no activity for a year, as indicated by the date in column C, *Date of Status Update.* Cases that are not referred should be closed within a year of their receipt.

☐ Fix Red Flags in SMART FACTS:

- Find the complex issues form to update by name or case # (using *Access Specific Issue* feature).
- Go to the SMP Activity Log and do one of the following, as appropriate:
    - Mark a referral checkbox, if that step was neglected.
    - Revise the status, based upon your review of the case notes:
        - Mark the status as *Suspended* if the case cannot be resolved due to beneficiary inaction.
        - Select the appropriate *Closed* option if the case was resolved.
        - *Note: Appendix C of the SMART FACTS manual provides guidance for selecting the appropriate status.*

Outcome 16 – Cost avoidance on behalf of Medicare, Medicaid, Beneficiary or Other

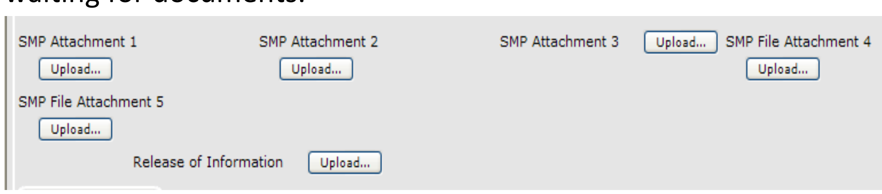
☐ In Excel: Review column Z which is subtitled "Item 16."

- For convenient review of this outcome, remember to sort the data Z-A.
- Red Flag: Do any of these cases have a status of *Open* (see column X)? If so that is incorrect. All cases should be closed or the dollars should not be entered. Entering dollars for this outcome but failing to close the case would result in duplication for this outcome over time.

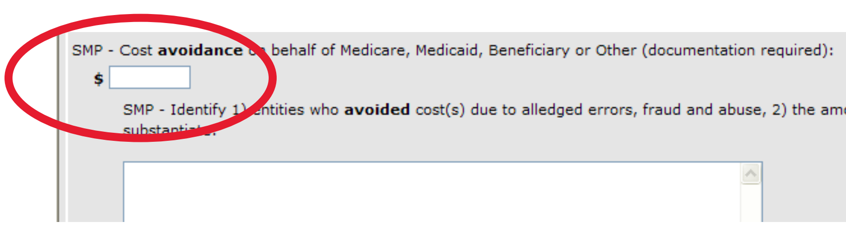
- Red Flag: Have you uploaded documentation for any case with dollars of $100 or more for this outcome? Documentation is required or the data will be rejected by the OIG.
    - The OIG provides training about acceptable documentation during the January and July OIG report webinars each year.
    - Additional guidance about documentation is available in chapter 4 and Appendix C of the SMART FACTS manual.

☐ Fix Red Flags in SMART FACTS:

- Find the complex issues form to update by name or case # (using *Access Specific Issue* feature) and do the following, as appropriate:
    - *Close* the case if you have uploaded the documentation and simply forgot to enter the appropriate status.
    - Go to the final tab of the complex issues form and review your documentation:
        - If it is not uploaded, scan and upload (must be a pdf, doc, or txt file). In this example, nothing has been uploaded. You can tell at a glance because all of the buttons say "Upload" indicating they are empty and waiting for documents.



        - If you **do not have** documentation, remove the dollars from the *Cost Avoidance* field on the final tab. It should be blank, as shown below.



        - Note: If you **have** documentation uploaded but the case is not fully resolved and cannot be closed, wait to enter the dollar figure until you are ready to close the case. You will receive credit for the avoidance in the year that the case was fully resolved.

Outcomes 17A – 17D (Medicare recoveries, Medicaid recoveries, Savings to Beneficiaries, Other Savings)

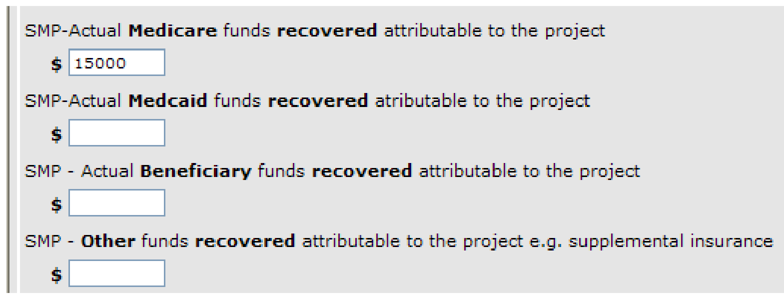
☐ In Excel: Review columns AA – DD. You will notice that the letters of the column headings match the outcomes (column AA is #17A, etc.).

- For convenient review of these outcomes, remember to sort (Z-A) the data when reviewing each column.
- Red Flag: Do any of these cases have a status of *Open* (see column X)? If so that is incorrect. All cases should be closed or the dollars should not be entered. Entering dollars for these outcomes but failing to close the cases would result in duplication for this outcome over time.
- Red Flag: Have you uploaded documentation to support these outcomes? Documentation is required or the data will be rejected by the OIG.
  - The OIG provides training about acceptable documentation during the January and July OIG report webinars each year.
  - Additional guidance about documentation is available in chapter 4 and Appendix C of the SMART FACTS manual.

☐ Fix Red Flags in SMART FACTS:

- Find the complex issues form to update by name or case # (using *Access Specific Issue* feature) and do the following, as appropriate:
  - *Close* the case if you have uploaded the documentation and simply forgot to enter the appropriate status.
  - Go to the final tab of the complex issues form and review your documentation:
    - If it is not uploaded, scan and upload (must be a pdf, doc, or txt file). In this example, nothing has been uploaded. You can tell at a glance because all of the buttons say "Upload" indicating they are empty and waiting for documents.

- If you do not have documentation, remove the dollars from the appropriate field on the final tab.
- Matching the field in the complex issues form to the outcome: In the example below, outcome 17A will increase by $15,000 due to the case below. There will be no dollars for outcomes 17B – 17D as a result of this case.



17A SMP-Actual **Medicare** funds **recovered** attributable to the project
$ 15000

17B SMP-Actual **Medcaid** funds **recovered** atributable to the project
$

17C SMP - Actual **Beneficiary** funds **recovered** attributable to the project
$

17D SMP - **Other** funds **recovered** attributable to the project e.g. supplemental insurance
$

- If you have documentation uploaded but the case is not fully resolved and cannot be closed, <u>wait</u> to enter the dollar figures in the appropriate field until you are ready to close the case. You will receive credit for the dollars in the year that the case was fully resolved.

Final Step: **CONGRATULATE** yourself on a job well done!