



Office of the
Medicaid Inspector
General

OMIG's Compliance Certification Process for Mandatory Compliance Programs:

Enrolling Provider or Revalidating Provider
Webinar # 25

January 27, 2015

Welcome

OMIG appreciates your interest in this Webinar

The Fine Print

These slides are not intended to provide legal advice; do not represent the opinion of the Office of the Medicaid Inspector General (OMIG); do not represent the opinion of the Centers for Medicare and Medicaid Services (CMS), the Office of the Inspector General (OIG) or any other state or federal agency; and shall not bind OMIG in any way.

Goals of this Webinar

- ❑ Introduce the forms that providers must use to meet their New York State Social Services Law Mandatory Compliance Program certification requirement on enrollment and during revalidation of enrollment; and

Goals of Webinar # 25 (Continued)

PLEASE NOTE THAT Webinar # 24 should be consulted for more background on the mandatory compliance obligations.

This Webinar will not address the Annual December Certification obligation for the Federal Deficit Reduction Act (DRA) of 2005 or New York State's Mandatory Compliance Programs.

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OMIG AT A GLANCE

Mission Statement

Our mission is to enhance the integrity of the New York State Medicaid program by preventing and detecting fraudulent, abusive, and wasteful practices within the Medicaid program and recovering improperly expended Medicaid funds while promoting high-quality patient care.

We Have A Statewide Presence

Regional Offices:

- Albany
- Buffalo
- Hauppauge
- New York city
- Rochester
- Syracuse
- White Plains

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NYS Medicaid Mandatory Compliance Program Certification Obligation

Medicaid Provider Compliance Obligations

Mandatory Compliance Program Certification Requirement

18 NYCRR §521.3

(b) Upon applying for enrollment in the medical assistance program, and **during the month of December each year** thereafter, a required provider shall certify to the department, using a form provided by the Office of the Medicaid Inspector General on its Web site, **that a compliance program meeting the requirements of this Part is in place. ...**

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NYS Mandatory Compliance Program Certification Form

What's Available When Certifying

- ❑ OMIG's certification landing page has links to the forms and to resources. <http://www.omig.ny.gov/compliance/certification>
- ❑ The Social Services Law (SSL) form has a series of questions to help providers know what is required to be in place in order to certify.
- ❑ Enrollment Categories on the forms will change during the year.

How Can I Successfully Complete the Certification Process?

Suggestions for a Successful and Effective Certification Process

1. Identify all Federal Employer Identification Numbers (FEIN) that you are or expect to order, claim, or receive Medicaid payments through. Some providers have multiple FEINs.
2. Certification is required for every FEIN that orders, claims, or receives Medicaid payments; or submits claims on behalf of another for Medicaid services, who are subject to the mandatory compliance program obligation.

Suggestions for a Successful and Effective Certification Process (Continued)

3. Review your mandatory compliance program to confirm that it meets all eight elements of the NYS Social Services Law and the regulations.
4. Assess whether your mandatory compliance program is implemented and operating.
5. Identify the appropriate person to be the certifying official for the SSL. It should be someone who is familiar with the compliance program (who the compliance function reports to is ideal).

Suggestions for a Successful and Effective Certification Process (Continued)

6. Make sure that firewalls, filters, and antivirus programs will allow connection and submission.
7. Conduct regular assessments of your compliance program and identify any gaps.
8. Create an annual work plan and assess the progress on prior work plans, as well as the status of plans of correction.

Suggestions for a Successful and Effective Certification Process (Continued)

9. Interact with the certifying official, senior management, and governing board in addressing the work plan, plans of correction and gaps.
10. If you certify and you cannot locate your confirmation page, do not recertify; instead, request a copy by email to compliance@omig.ny.gov.
11. Sign-up for OMIG's listserv to receive certification reminders.

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How to Fill Out the Certification Forms Successfully

Cautionary Points on Certification

- Do not make false statements on the certification forms.
- Make sure that your firewalls and security settings will allow for the certification process to be completed.
- Use the correct form (SSL vs. DRA).
- Use the correct FEIN(s).
- Certify for each FEIN in the enterprise involved in Medicaid that has a compliance obligation.

Consequences for Not Certifying

Some of the consequences for failing to certify include:

- Newly enrolling Medicaid providers may not be able to complete their enrollment process with DOH.
- Medicaid providers revalidating enrollment with DOH may not be able to smoothly complete the process.

Questions

Questions related to this Webinar or on the Social Services Law Mandatory Compliance Program certification forms should be sent to compliance@omig.ny.gov.

Compliance Resources

Our website: www.omig.ny.gov

□ Compliance Library

- Compliance Authorities
- OMIG Compliance Publications
- Forms
- OMIG Assessment Results
- FAQs
- Compliance-related Webinars
- Other Compliance Resources

Compliance Resources (Continued)

- Bureau of Compliance dedicated email address – compliance@omig.ny.gov
- Bureau of Compliance dedicated telephone number – **518.408.0401**

Thank you