



# Clinical Quality and Compliance

## Case Studies



### Engagement Type

### Clinical Quality and Compliance - Diligence

### Clinical Quality and Compliance - Consulting

### Situation

A PE sponsor evaluating an investment in a Dental Services Organization (“DSO”) with Medicaid and Commercial exposure needed to assess the clinical quality and compliance operations of the target, and also sought a report which could be shared with Representation and Warranty insurance carriers to help secure coverage.

After identifying areas of improvement and making recommendations to a Dental Services Organization (“DSO”), Marwood assisted the Company in the refinement, implementation and development of its Compliance and Quality Programs.

### Sample Work and Deliverables

#### Clinical Record Review

- Reviewed a sample of the Company’s clinical records to assess the Company’s billing and coding practices and the medical necessity of services provided

#### Compliance Program Refinement and Implementation

- Implemented a Compliance Program across the Company’s operations in three states
- Developed audit processes and chart review audit tools, structured education and training programs, implemented written compliance policies, refined the Company’s HIPAA compliance program, and established guidelines and policies for checking the OIG List of Excluded Individuals

#### Compliance Program Review

- Assessed the Company’s compliance program by reviewing select documentation and conducting interviews with the Company’s management to determine if the Company’s compliance program complies with the OIG’s seven required elements for an effective compliance program

#### Quality Improvement Program Development and Implementation

- Designed a Quality Improvement program for the Company to enable effective monitoring and tracking of clinical quality improvement across all locations
- Assisted in the formation of a Quality Committee, identified best practice quality measures that could improve patient outcomes, instituted quality processes (i.e., data collection, trend identification) and identified specific risk areas for the Company

#### Benchmarking Analysis

- Benchmarked the results of the clinical record review against findings from reviews previously conducted by Marwood of companies operating within the same subsector, providing perspective on how the target’s compliance operations rank when compared with other middle-market providers of dental services

