

Auditing for Compliance

Plan-Execute-Report-Corrective Action

Healthcare Auditor Online Training Program

This is a 6-month Web-Based Training Program. Work online at your own pace with no scheduled classes to attend. This course is preapproved for 18 continuing education units with AHIMA & AIHC.



Online, On-Demand Training - This course is Online, On-Demand with no scheduled classes to attend during your 6-month access to course materials. Typically, professionals complete the course and certify within 2-3 months, however, you have up to 6-month access included in your tuition. Access your course information 24 hours a day, 7 days a week, by logging into the AIHC website. A qualified, certified instructor is available upon request to address questions you may have during your training experience.

Course Prerequisites - This course is recommended for Practice Administrators, Office Managers, Supervisors, Medical Coders and Billers, Compliance and HIPAA Officers, Executives, and Administrators involved in auditing procedures, compliance, or records.

Earn Continuing Education Units (CEUs)



18 CEUs - This program has been approved for 18 continuing education units by the American Institute of Healthcare Compliance for AIHC Certified Professionals. These continuing education units may be applied towards the Core, HIPAA, and Ethics Category CEU Renewal Requirements for the following AIHC credentials: CHA (*take as a refresher at a reduced price*), CIFHA, CHCO, COCAS, CORCM and OHCC. They may also be applied towards the Core and Ethics Category CEU Renewal Requirements for the following AIHC credentials: ICDCT-CM, and ICDCT-PCS.



18 CEUs - This program has been approved for 18 continuing education units for use in fulfilling the continuing education requirements of the American Health Information Management Association (AHIMA). Granting prior approval from AHIMA does not constitute endorsement of the program content or its program sponsor.
Core Content Hours Approved: Revenue Cycle Management, 18 Hours

What You Will Learn: Plan – Execute – Report – Corrective Action (PERC)

Introduction to Auditing for Compliance

- This introduction is in the form of a Video. Follow along by downloading and printing the transcript.
- Download and review the “Audit Steps – Checklist Guide”. This provides an overview of all things to be considered and addressed when performing an audit.

“P” Planning the Audit Lessons

Audit and Leadership

- Becoming a Lead Auditor
- Fundamentals of Internal Business System Auditing P-E-R-C
- Planning Requires Leadership, Judgment and Achieving Collective Excellence
- Auditor Skills & Qualifications and the ASQ 20 Basic Audit Principles you need to know

Drafting the Audit Plan

- Planning Activities and Checklist to determine the Objective, Scope and Audit Criteria
- Understanding the OIG Work Plan, what the OIG is monitoring and auditing (and so should you)
- Auditing and Monitoring Expectation of the OIG by Provider-Type



The American Institute of Healthcare Compliance, Inc.

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Plan Your Sample Size

- Drafting how the sample will be determined
- OIG RAT-STATS
- Using Excel to Obtain a Random Sample
- Auditing & Sampling Terminology
 - Confidence Level, Precision and Standard Deviation
- Statistical vs Nonstatistical Sampling
- Drafting a Sampling Plan
- Sample Size based on the Organization's Payer Mix Method

“E” Executing the Audit Lessons

Executing the Audit

- Audit and Attorney-Client Privilege
- Project Management – Execution Activities - Work Smart Using the Pareto Principle
- How to Conduct an Opening Meeting
- Collecting Data and Asking the right questions
- Document Observations – Using a Fishbone Diagram to illustrate your observations
- Gap Analysis Application to record non-conformances
- Audit Committee, Communications and the Information Loop

Compliance and Executing the Audit

- HEAT and Paying Attention to What the Government is Doing
- Rules and Regulations – FCA, FERA, Anti-Kickback Statute and Stark Law
- Signature Requirements – Acceptable standards to use as audit criteria when auditing medical records, orders, etc. Authentication and Medical Recordkeeping Principles
- Auditing for Medical Necessity & CMS Learning Activity Exercise
- Medicaid: MIP, CMIP, NAMFCU

“R” Report Your Audit Findings Lessons

Report Your Audit Findings

- Audit Team and Reporting Activities
- Accuracy in Reporting your Analysis, Assumptions and Conclusions
- Appropriate Analysis of Data
- Using Math to Report your Findings – PBR Formula
 - Measure of Location: Mean, Median and Mode
 - Measures of Dispersion: Range, Standard Deviation, Coefficient of Variation
- Relationships & Statistical significance

Drafting the Report of Findings

- Benchmarking
- Wording Your Executive Summary Report
 - Recommendations for Corrective Actions
- Cause & Effect: Flowcharting basics
 - Use of Charts, Graphs to illustrate your findings
 - Self-Review Exercise – Practice Creating Excel Graphs



“C” Corrective Action Lessons

Introduction to Corrective Action and Joint Commission Sentinel Events

- Introduction to the Corrective Action Plan (CAP)
- Overview of Plan-Do-Check-Act (PDCA)
- Filing a Correction Action Request
- Tracing a Problem to Its Origin – Root Cause Analysis Basics
- Joint Commission & Sentinel Events
 - RCA Action Plan Form & Sample Sentinel Events
- Vocabulary of Root Cause Analysis
- RCA and HFMEA™
- Safety Assessment Code or “SAC” Matrix Analysis
- RCA Triage and Triggering Questions

RCA, VA and Compliance Risks

- Veteran’s Association to Patient Safety
- VANCPS Principles of Root Cause Analysis (RCA)
 - Event Flow Diagramming
 - Cause & Effect Diagramming
 - VA Root Cause Analysis Tools - PDF
- Compliance Risk Associated with Audits and RCA
 - When Audit Results in Overpayment Determination
 - Government payer rules
 - Medicare Self-Referral Disclosure Protocol Vs OIG Self Disclosure Protocol
 - Incorporating Training and Redesigning Systems into the Correct Action Plan
 - OIG Free Online Resources
- Advice – Option to Certify as a Healthcare Auditor

Computer Requirements and Time Limits

To successfully complete this course, you will need high-speed internet access, email, Microsoft Word, Microsoft Excel, and Adobe Reader. You must complete this course within six (6) months of your enrollment date or purchase an extension to buy more time (up to 3 months in extensions). Your course enrollment begins when the AIHC Office receives your course tuition payment.

Course Tuition Includes

- Access to a Qualified Online Instructor If and When You Need Help (Available upon request).
- Training Materials and Access to the Online Training Page.
- Self-Review Questions for Each Lesson
- Quizzes and Downloadable Information: Accessed through the online training page.
- AIHC Membership for One (1) Year: This is available for first-time members only.
- Mock Exam: This mock exam is one exam total that covers all five of the certification exam domains.
- One (1) Certification Exam Attempt, Provided the Exam is Taken Within Three (3) Months of Completing the Course

Optional Certification Exam – Earn the CHA Credential

Experienced Healthcare Auditors and Compliance Officers will have the *option* to certify as a Certified Healthcare Auditor (CHASM) after successful completion of the Auditing for Compliance Course. The online exam can be taken remotely from the comfort of your home or office. Attempts at the exam are only available by appointment with a professional AIHC proctor.



About the Certification Exam

- The exam is 100 questions, open note three (3) hour proctored exam taken online.
- Passing score is 80%*
- There are five (5) Domains:
 - Acronyms and Terms
 - Planning the Business System Audit, Leadership, Sample Size and OIG Compliance Standards
 - Executing the Audit, Project Management & Attorney-Client Privilege, Medical Record Documentation Standards
 - Report Auditing Findings, Data Analysis, Benchmarks, Statistical Analysis
 - Corrective Action Plan After the Audit, VA's Approach to Patient Safety, Root Cause Analysis, Self-Referral Disclosure Protocol versus OIG Self Disclosure Protocol, Monitoring Audits
- The exam is taken online from the comfort of your home or office by appointment only and scheduled with a professional AIHC proctor
- Certification is approved by the Certification Exam Board

***Policy:** The certification exam is optional, but the cost of one exam attempt is included in your course tuition provided you take the exam within three months of completing the program. Typical pass rate on 1 attempt when the exam is taken within 4 weeks after completing the course is 92%. If you do not pass the first time, you may purchase up to 2 additional attempts at certification totally 3 attempts within 1 year from your course enrollment date.

Maintaining Your CHA Credential

Once you are certified, you need to maintain your credential by earning six (6) CEUs annually. AIHC also offers free and low-cost CEU programs for our members.

Tuition Non-Member Price: \$1,500.00

AIHC Members Pay \$995 [Members Save \$505.00]

How to Register for this Course

Register Online – [Click here](#) to return to the Course Page, Enroll and Pay!

We accept online registration payment via credit card.



Register Via Mail or Fax: Scroll down for a hard copy enrollment form. Mail or fax your completed form to the AIHC Office to submit your registration and payment information.

Refund & Financial Policies

View the Refund Policy and Payment Plan Options Posted on the Home Page of our Website under Financial Policies www.aihc-assn.org



