Auditing for Compliance

Plan-Execute-Report-Corrective Action

Healthcare Auditor Online Training Program

This is a 4-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 the American Institute of Healthcare Compliance. ***We are a licensing/certification partner with CMS.***

Online, On-Demand Training - This course is online and on-demand, with no scheduled classes to attend during your 4-month access to course materials. Typically, professionals complete the course and certify within 2-3 months; however, you have 4 months of access included in your tuition. Access your course information 24 hours a day, 7 days a week, by logging into our 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 Veterans Administration, Government Auditors, 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 our certified professionals. These continuing education units may be applied towards all AIHC® professional credentials for your next renewal. Already hold a CHA℠ credential? *Take as a refresher at a reduced price! Questions? Contact Us!*

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

Introduction to Auditing for Compliance

Included - Introductory VIDEO, Acronym List, Audit Steps and Checklist Guide

- 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

- Internal/external audits and technology changing auditing methods
- P-E-R-C – the four phases of an internal audit
- Stakeholder, what it takes to be a leader, be-know-do
- Judgment
- Levels of Leadership: Direct, Organizational & Strategic
- Achieving collective excellence
- Auditor skills and qualifications
- 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

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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

Included - Gap Analysis Example PDF, Gap Analysis Form (Excel)

- Conducting an Internal Audit and Attorney-Client Privilege
- Executing the Project and Project Management, work smart, Pareto principle 80/20 rule
- Schedule and Conduct the Opening Meeting
- Collecting Data / Information to Inspect – Know how to ask questions
- Document Information / Observations Using a Fishbone Diagram
- Gap Analysis, application of Gap Analysis – Audit for OIG compliance, Gap Form
- Record non-conformance
- Auditing in Health Care Organizations
    - Audit & Monitoring Standards and Criteria: purpose & objective of baseline audit – identify high-risk areas
    - Conducting monitoring audits
    - Audit Committee, Communication & the Information Loop
- Compliance as the focus of all audit efforts, the need for written standard operating procedures or SOPs

Compliance and Executing the Audit

Included - E&M Guide from CMS, Signature Requirements Fact Sheets and Resources

- Pay Attention to What the Government is Auditing and Monitoring
    - Understanding Fraud versus Abuse
- Health Care Fraud Prevention & Enforcement Action Team (HEAT)
- Rules and Regulations: False Claims Act & FERA
- Federal Anti-Kickback Statute – Stark Law
- Signature Requirements
    - Acceptable and Unacceptable Practices
- Program Integrity Manual (PIM)
- Authentication and Medical Record-Keeping Principles
- Audit Documentation for Medical Necessity
    - NCDs, LCDs, Local Coverage Articles
- Medicaid Integrity Program (MIP) and Comprehensive Medicaid Integrity Plan (CMIP)
- National Association of Medicaid Fraud Control Units (NAMFCU)
- CMS website resources

Is the Data You're Using Secure?

- What Auditors & Investigators Should Notice
- Artificial Intelligence Is No Exception to Security Standards
- AI and the White House

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Conducting Risk Assessments

- What It Is
- Frequency of Performing a Risk Assessment
- Smaller Organizations vs. Larger Organizations
- Inherent vs. Residual Risk
- Internal vs. External Risk Factors
- Objectives and Risk Tolerances

"R" Report Your Audit Findings Lessons

Report Your Audit Findings
Included - Math Video

- 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
- Basic math exercises

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
Included - Joint Commission RCA and Action Plan Form, Sentinel Event 54 Safe Use of Health IT, Sentinel Event 56 Suicide

- 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

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Auditing, RCA and Compliance Risks

- 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 are available on our website.

Time Limits

The course must be completed within four (4) months from the date of enrollment. Course extensions are available for purchase if additional time is needed. Enrollment officially begins once our office receives the 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
- 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 (CHA℠) 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 proctor.

About the Certification Exam

- The exam is a 100-question, 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 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. The 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, totaling 3 attempts within 1 year from your course enrollment date.

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Maintaining Your CHA^{SM} Credential

If you certify, you will need to maintain your credential by earning CEUs annually and paying the annual membership renewal fee. We do offer free and low-cost CEU programs for our members. For more information visit Credential Renewal FAQs.

Tuition Non-Member Price: $1,250

Members Pay $950 [Members Save $300]

***Join as a member today** and save!*

How to Register for this Course

Register Online – Click here to register securely for this training program.

We accept the following credit cards online via the secure payment portal located on the course registration page.

Need to Mail a Check or Money Order?

Scroll down, complete the hardcopy enrollment form and enclose it with your payment.

Refund & Financial Policies

View the Refund Policy posted on the Home Page of our website under Financial Policies www.aihc-assn.org

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HARD COPY REGISTRATION FORM

Auditing for Compliance – Online Training Program

Please submit one form per person

Enrollment Date:	**I intend to take the online certification exam after completing this program:** ❑ Yes ❑ No
Name & Credentials:	
Home Address:	**Employer Name & Address:**
Current Job Position:	
(For website administration and registration confirmation) **Primary Email Address:** **Alternate Email Address:**	**Work Phone Number:** **Alternate or Cell Phone Number:**

Please Make Checks Payable to: AIHC®

[ ] Non-Member Price: $1,250 [ ] Members Pay: $950
Mailing Address: 3637 Medina Road, Suite 15, Medina, Ohio 44256

Please do not send credit card information, for secure credit card payments:
Register Online – Click here to register securely for this training program.
Or request an invoice by emailing *RegistrationDepartment@aihc-assn.org, or call 330-241-5635 (option 2)*

We Accept the Following Credit Cards:

AIHC® is a 501(c)(3) Non-Profit Licensing/Certification Partner with CMS.

Thank you for choosing AIHC for your training needs.

How did you hear about us?
□ Mail □ Email □ Co-Worker □ Our Website □ Social Media □ Other:_____

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