

# Auditing for Compliance - PERC

## Online Training for Professional Healthcare Auditors



**An eLearn Training Program for Busy Executives**  
Work online at your own pace with no scheduled classes to attend

Sponsored by

**American Institute of Healthcare Compliance, Inc.**

431 W. Liberty Street ♦ Medina, Ohio 44256

Toll Free: 866-571-5635 ♦ Cleveland/Akron Area: 330-241-5635

Fax: 330-952-0716 / [Contact Us](#)



Visit our web site at [www.aihc-assn.org](http://www.aihc-assn.org)

An Internationally Recognized Compliance Training & Certification Leader in Health Care  
501(c)(3) Non-Profit Organization

## Who should take this course?

This course is for Executives and Healthcare Administrators involved in Auditing of Processes, Procedures, Compliance or Records.

## What is eLearn training?

eLearn Training courses are online instructor assisted programs. There are no scheduled classes to attend. You may work at your own pace and will have the ability to login to your information 24 hours per day. Your instructor will be available to communicate by phone and e-mail to assist you throughout your training program. Instructors provide online access, technical support and course instruction as needed to help in your educational efforts.

## What will I learn from this course?

| Phase 1: “P” - Planning the Audit  |   |
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| <ul style="list-style-type: none"> <li>➤ Introduction to Auditing for Compliance</li> <li>➤ Fundamentals of Internal Business System Auditing</li> <li>➤ Planning Requires Leadership                             <ul style="list-style-type: none"> <li>○ Skills needed by health care auditors &amp; team leaders</li> <li>○ Be, Know &amp; Do Concepts - Values, Attributes, Judgment, and Managerial Skills</li> </ul> </li> <li>➤ PERC – Overview of the Phases of an Internal Audit</li> </ul>   | <ul style="list-style-type: none"> <li>➤ Develop the Audit Plan &amp; Utilizing the Basic Audit Principles</li> <li>➤ Sample Selection Standards</li> <li>➤ OIG Work Plan</li> <li>➤ Compliance Guidance</li> <li>➤ RAT STATS</li> <li>➤ Auditing &amp; Sampling Terms &amp; Definitions (Statistics)</li> <li>➤ Drafting a Sampling Plan</li> </ul>  |
| Phase 2: “E” - Executing the Audit   |   |
| <ul style="list-style-type: none"> <li>➤ Conducting an Internal Audit and Attorney-Client Privilege</li> <li>➤ Executing the Project and Project Management</li> <li>➤ Schedule and Conduct the Opening Meeting</li> <li>➤ Collecting Data / Information to Inspect – Know how to ask questions</li> <li>➤ Document Information / Observations using Fishbone Diagram</li> <li>➤ Gap Analysis</li> <li>➤ Auditing in Health Care Organizations                             <ul style="list-style-type: none"> <li>○ Audit &amp; Monitoring Standards and Criteria</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>➤ Audit Committee, Communication &amp; the Information Loop                             <ul style="list-style-type: none"> <li>○ Medicare Claim Review Programs</li> <li>○ HEAT</li> <li>○ Rules and Regulations: False Claims Act &amp; FERA</li> <li>○ Federal Anti-Kickback Statute – Stark Law</li> </ul> </li> <li>➤ Signature Requirements, Acceptable and Unacceptable Practices                             <ul style="list-style-type: none"> <li>○ Program Integrity Manual (PIM)</li> <li>○ Authentication and Medical Record Keeping Principles</li> <li>○ Audit Documentation for Medical Necessity                                     <ul style="list-style-type: none"> <li>▪ NCDs, LCD</li> </ul> </li> </ul> </li> </ul> |

### Phase 3: “R” - Report Audit Findings

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| <ul style="list-style-type: none"> <li>➤ Reporting Activities &amp; the Audit Team Meeting</li> <li>➤ Accuracy in Reporting Your Analysis, Assumptions, and Conclusions</li> <li>➤ Appropriate Analysis of Data</li> <li>➤ Qualitative vs Quantitative</li> <li>➤ Using Math to Report Your Findings             <ul style="list-style-type: none"> <li>○ Measures of Location: Mean, Median, Mode</li> </ul> </li> </ul> | <ul style="list-style-type: none"> <li>○ Measures of Dispersion: Range, Standard Deviation, Coefficient of Variation</li> <li>➤ Relationships &amp; Statistical Significance</li> <li>➤ Benchmarks</li> <li>➤ Wording the Report</li> <li>➤ Statistical Analysis / Cause &amp; Effect             <ul style="list-style-type: none"> <li>○ Flowcharting</li> <li>○ Selecting the Right Graph or Illustration</li> </ul> </li> </ul> |
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### Phase 4: “C” - Corrective Action

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| <ul style="list-style-type: none"> <li>➤ Corrective Action Activities – The Corrective Action Plan</li> <li>➤ Basics of Root Cause Analysis - Tracing a Problem to Its Origins             <ul style="list-style-type: none"> <li>○ 5 Steps to Reduce Errors</li> <li>○ 5 Basic Root Causes</li> </ul> </li> <li>➤ Sentinel Events</li> <li>➤ VA’s Approach to Patient Safety             <ul style="list-style-type: none"> <li>○ VANCPS RCA Methodology                 <ul style="list-style-type: none"> <li>▪ RCA Definitions</li> </ul> </li> <li>○ RCA vs. Healthcare Failure Mode &amp; Effects Analysis (HFMEA™)</li> <li>○ Calculating SAC – Safety Assessment Code</li> </ul> </li> <li>➤ RCA Triage and Triggering Questions</li> </ul> | <ul style="list-style-type: none"> <li>➤ Event Flow Diagramming             <ul style="list-style-type: none"> <li>○ Initial, Intermediate and Final Event Flow Diagrams</li> </ul> </li> <li>➤ Consequences of Performing Audits Related to Potential Overpayments</li> <li>➤ Self-Reporting</li> <li>➤ Lookback Period</li> <li>➤ CMS Self-Referral Disclosure Protocol versus</li> <li>➤ OIG Self Disclosure Protocol</li> <li>➤ The Corrective Action Plan or “CAP”             <ul style="list-style-type: none"> <li>○ Utilizing Free CMS and OIG Training Resources as part of your CAP</li> </ul> </li> <li>➤ Monitoring Audits – Verify Corrective Action             <ul style="list-style-type: none"> <li>○ Plan-Do-Check-Act or PDCA                 <ul style="list-style-type: none"> <li>▪ Requirement Technique</li> <li>▪ Element Technique</li> </ul> </li> </ul> </li> </ul> |
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## Are there specific computer requirements needed for this course?

Computer Requirements



**Yes!** You will need high-speed internet access, email, Microsoft Word, Excel, and Adobe Reader

## Can I earn Continuing Education Units (CEUs)?

### Yes! EARN 18 CONTINUING EDUCATION UNITS



**18 CEUs:** This program has been approved for 18 continuing education units (CEUs) by the American Institute of Healthcare Compliance for AIHC Certified Professionals.



**18 CEUs:** This program has been approved for 18 continuing education units(s) 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: Performance Improvement, 18 Hours

## What is included in this course?

- ✚ Start training after registration is processed. Course must be completed in 6 months to avoid extension fees and/or penalties
- ✚ Online Course Manager assigned to each professional enrolling in the program to provide professional guidance, technical web site support and assist in the learning experience
- ✚ Training Materials and Online Course Page provided
- ✚ Homework and online quizzes are accessed through your Online Course Page.
- ✚ Downloadable information can be used for future reference.
- ✚ AIHC Membership for one year (*for non-members only*)

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 from the comfort of your home or office by appointment only and scheduled with a professional AIHC proctor. 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. [Click Here](#) for more information regarding the CHA exam.

## How do I maintain my CHA Credential?

Once you are certified, you need to maintain your credentials by earning six (6) continuing education units annually as described below.

[Click Here](#) to access the online CEU renewal chart.

***AIHC OFFERS FREE AND LOW COST (\$35) CEU PROGRAMS TO OUR MEMBERS***

## What is the cost?

**Full Tuition: \$1,250**

**Non-Members:** [Click Here](#) to register online

**AIHC Members:** Register through the [AIHC Member Store](#) for a discounted price!

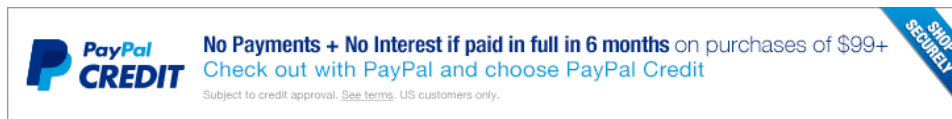
*OR* scroll down for a hard copy registration form

## Do You Offer Multiple Student Discounts For Organizations?

**Yes!** Please [Contact Us](#) for more information!

## Do You Have Payment Options Available For This Course?

**Yes!** We offer in-house payment plans – please [Contact Us](#) for more information *OR* we offer the option to use PayPal Credit when paying online through PayPal.



[Scholarship Assistance](#) is available to our *current* members employed with a company that does not offer tuition reimbursement.

## Do you have a Refund Policy?




**Yes!** [Click Here](#) to view our Refund and Transfer Policy





**Auditing for Compliance - PERC  
eLearn Training Program  
ENROLLMENT FORM**

|   |
|---|
| <b>Office Use Only</b>  |
| Date Received: _____  |
| Instructor: _____   |
| Web site Access: _____  |
| Payment Plan <input type="checkbox"/> Yes <input type="checkbox"/> No |

|   |  |   |                                |
|---|--|---|--------------------------------|
| <b>Enrollment Date:</b> _____   |  | <p align="center"><b><u>TUITION (CHECK APPROPRIATE BOX)</u></b></p> <input type="checkbox"/> Full Tuition: \$1,250.00<br><input type="checkbox"/> Optional Certification Exam<br><input type="checkbox"/> Coupon Code: _____ (if applicable)<br><br><b>AIHC Member?</b><br>Use the member coupon code and register for less!<br><input type="checkbox"/> Optional Certification Exam<br><input type="checkbox"/> Coupon Code: _____<br><input type="checkbox"/> Member ID#: _____ |                                |
| <b>Print Name &amp; Credentials: (one form per person)</b>  |  |   |                                |
| <b>Employer Name &amp; Address:</b> <input type="checkbox"/> Ship text(s) here<br><i>Is Employer paying for this course? <input type="checkbox"/> Yes <input type="checkbox"/> No</i>   |  |   |                                |
| <b>Home Address:</b> <input type="checkbox"/> Ship text(s) here   |  |   |                                |
| <b>Print Position &amp; Check Highest Level of Education:</b>   |  |   |                                |
|   |  | <input type="checkbox"/> High School<br><input type="checkbox"/> Associate Degree<br><input type="checkbox"/> Diploma Program<br><input type="checkbox"/> Bachelor Degree<br><input type="checkbox"/> Masters or Higher   |                                |
| <b>Clearly Print Your Email Address(es)</b><br>(For website administration & registration confirmation)<br><br>Primary:<br><br>Alternate:   |  | <b>Work Phone (Ext.):</b>   | <b>Alternate phone / Cell:</b> |
| <b>Charge My Credit Card:</b>    <input type="checkbox"/> VISA <input type="checkbox"/> MasterCard <input type="checkbox"/> Discover <b>Fax to: 330-952-0716</b>   |  |   |                                |
| Amount Approved on Credit Card: \$ _____<br><br>Card #: _____ Sec Code _____ Exp. Date _____<br><br>Billing address for credit card: _____<br><br>Name as it appears on the card: _____<br><br>Authorized Signature & Date: _____   |  |   |                                |
| <p align="center"> <b>Paying by Corporate Check? Amount Due: _____</b><br/> <b>Please make checks payable to: AIHC</b> </p> <p align="center"> <b>Mail to: American Institute of Healthcare Compliance 431 W. Liberty Street Medina, OH 44256</b><br/> <b>PHONE: 330-241-5635 / FAX: 330-952-0716</b> </p> <p align="center">         Please visit our website at <a href="http://www.aihc-assn.org">www.aihc-assn.org</a> for more information about our company.<br/>         Inquiries should be made to <a href="#">Contact Us</a> </p> <p align="center"> <b>How did you hear about us?</b><br/> <input type="checkbox"/> Mailing <input type="checkbox"/> Email <input type="checkbox"/> Co-worker <input type="checkbox"/> AIHC web site <input type="checkbox"/> AHIMA web site <input type="checkbox"/> Facebook <input type="checkbox"/> Other       </p> |  |   |                                |

# American Institute of Healthcare Compliance, Inc.

## Membership Application/Required for non-members enrolling in this program (Membership is included in price of tuition for NEW MEMBERS ONLY)

Job/Position (title & brief description):

Are you certified by any organization? Please indicate certification and company name:

Are you a licensed clinical professional? Please check all appropriate boxes:

- |   |   |
|---|---|
| <input type="checkbox"/> MD/DO                        | <input type="checkbox"/> Physician Assistant        |
| <input type="checkbox"/> Chiropractor                 | <input type="checkbox"/> Nurse Practitioner/Midwife |
| <input type="checkbox"/> Doctor of Podiatric Medicine | <input type="checkbox"/> Registered Nurse           |
| <input type="checkbox"/> Physical Therapist           | <input type="checkbox"/> Licensed Practical Nurse   |
| <input type="checkbox"/> Occupational Therapist       | <input type="checkbox"/> Medical Assistant          |
| <input type="checkbox"/> Speech-Language Pathologist  | <input type="checkbox"/> Other _____                |
| <input type="checkbox"/> Kinesiotherapist             |   |

### OIG exclusion

Have you ever been:

1) Notified that you were under investigation for; investigated for; charged with; or convicted of any offense relating to Medicaid or Medicare fraud?

2) Placed on the OIG exclusion list?

### Membership Requirement (Restriction)

AIHC membership is open to the public, health care workers and administrators as well as certified healthcare auditors, collectors and compliance officers. To uphold a high standard, AIHC follows the guidelines recommended by the Office of the Inspector General (OIG) regarding retention of excluded individuals. For many years the Congress of the United States has worked diligently to protect the health and welfare of the nation's elderly and poor by implementing legislation to prevent certain individuals and businesses from participating in Federally-funded health care programs. The OIG, under this Congressional mandate, established a program to exclude individuals and entities affected by these various legal authorities, contained in sections [1128](#) and [1156](#) of the [Social Security Act](#), and maintains a list of all currently excluded parties called the List of Excluded Individuals/Entities (See OIG website at [www.oig.hhs.gov](http://www.oig.hhs.gov)).

No individual whose name appears on the OIG Excluded Individuals Entities List may hold membership in AIHC; and any member whose name is added to this list will have his/her membership status revoked without refund.

*“My signature below indicates I have read this restriction for membership and attest that I am not currently on the OIG exclusion list at the date this application has been submitted for membership to the American Institute of Healthcare Compliance.”*

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date