

Table of Contents

About the Author and Expert Reviewers	vi
AANAC and the Education/Certification Programs.	viii
Course Objectives	1
Pretest.	2
Introduction	4
Chapter 1 Corporate Compliance Overview	6
The Scope of OIG Corporate Compliance	6
Benefits of an Effective Compliance Program	7
Getting Started.	7
The Seven Basic Compliance Elements	8
Code of Conduct	10
Compliance Policies and Procedures	12
OIG-Identified Potential Risk Areas.	12
Involvement of the QAA Committee	13
QAPI and Corporate Compliance Elements	13
<i>Chapter 1 Quiz</i>	14
<i>Chapter 1 Discussion Questions</i>	14
Chapter 2 Quality of Care	15
Quality-of-Care Risk Areas.	15
Sufficient Staffing	16
Comprehensive Resident Care Plans	18
Medication Management	20
Appropriate Use of Psychotropic Medications	22
Resident Safety.	24
<i>Chapter 2 Quiz</i>	26
<i>Chapter 2 Discussion Questions</i>	26
Chapter 3 Residents' Rights	27
Policies and Procedures.	27
Protection of Resident Health Information.	29
<i>Chapter 3 Quiz</i>	32
<i>Chapter 3 Discussion Questions</i>	32
Chapter 4 Employee Screening	33
Screening to Reduce Risk.	33
Data Bank Check	33
<i>Chapter 4 Quiz</i>	37
<i>Chapter 4 Discussion Questions</i>	37
Chapter 5 Vendor Relationships	38
Kickbacks.	38

Safe Harbors40
Contracts42
<i>Non-Physician Services</i> 43	
<i>Physician Services</i> 43	
Discounts43
Hospices44
Reserved-Bed Payments44
Examples of Violations of the Anti-Kickback Statute45
<i>Chapter 5 Quiz</i> 46	
<i>Chapter 5 Discussion Questions</i> 46	
Chapter 6 Physician Self-Referrals	47
The Stark Law47
Designated Health Services (DHS)48
Analyzing Physician Self-Referral Situations49
Examples of Violations of the Stark Law49
<i>Chapter 6 Quiz</i> 50	
<i>Chapter 6 Discussion Questions</i> 50	
Chapter 7 Submission of Accurate Claims	51
Reimbursement Overview51
<i>Medicare</i> 51	
<i>Medicaid</i> 52	
<i>Managed Care</i> 53	
Billing Concerns53
False Claims Act55
Examples of False Claims56
Resident Case-Mix and Upcoding57
Therapy Services57
Screening for Excluded Individuals and Entities58
Restorative and Personal Care Services59
<i>Chapter 7 Quiz</i> 60	
<i>Chapter 7 Discussion Questions</i> 60	
Chapter 8 Cost Reporting, Anti-Supplementation, and Medicare Part D	61
Cost Reporting61
Anti-Supplementation62
Medicare Part D62
<i>Chapter 8 Quiz</i> 63	
<i>Chapter 8 Discussion Question</i> 63	
Chapter 9 Creation, Retention, and Protection of Records	64
Medical Records Compliance64
Workstation Controls67
Password Protection68

Employee Participation in Compliance68
<i>Chapter 9 Quiz</i>	69
<i>Chapter 9 Discussion Questions</i>	69
Chapter 10 Designation of a Compliance Officer and Committee	70
The Compliance Officer.70
The Compliance Committee72
Developing Lines of Communication74
<i>Chapter 10 Quiz</i>	77
<i>Chapter 10 Discussion Questions</i>	77
Chapter 11 Training and Education	78
Providing Compliance Training78
<i>Chapter 11 Quiz</i>	81
<i>Chapter 11 Discussion Questions</i>	81
Chapter 12 Auditing and Monitoring for Compliance	82
Compliance Program Oversight82
Review Process Techniques.83
Self-Audits84
The Investigation Process.85
Corrective Actions and Program Effectiveness.89
Enforcing Standards.94
OIG Investigations and Audits.95
<i>Chapter 12 Quiz</i>	97
<i>Chapter 12 Discussion Questions</i>	97
Chapter 13 The Affordable Care Act	98
Accountability Requirements for Skilled Nursing Facilities and Nursing Facilities98
Requirements for Compliance and Ethics Programs99
Required Quality Assurance and Performance Improvement Programs	100
Other ACA Provisions	100
<i>Chapter 13 Quiz</i>	101
<i>Chapter 13 Discussion Question</i>	101
Chapter 14 OIG 2013 Work Plan	102
OIG Work Plan 2013 Summary	102
<i>Chapter 14 Quiz</i>	104
<i>Chapter 14 Discussion Question</i>	104
Pretest and Quiz Answer Keys	105
References and Resources	106
AANAC Training Manual Evaluation	109
AANAC Membership	111