This guide is a list of resources on compliance that physicians and other health care professionals might find useful when developing a Medicaid self-audit of an individual or small group practice or similar business. This list is by no means exhaustive. Contents of sources, such as references to Federal agencies, may not directly apply to particular situations.

**U.S. Department of Health and Human Services**

  The primary source of the seven-element Federal health care compliance effort.

  General Compliance 101 Provider Education information in multiple media.

  Compliance information specifically for new providers.

  Cover a wide array of compliance topics—laws, guidance, and tips.

  Gives specific steps and an audit program for working with the U.S. Department of Health and Human Services, Office of Inspector General to disclose and quantify a compliance problem.

  Database to search for entities and individuals who are not allowed to participate in any Federal health care program.

  Discusses payment and business practices that might seem to implicate the Federal Anti-Kickback Statute but are actually not treated as offenses under the statute.
Centers for Medicare & Medicaid Services

- Data Analysis Support and Tracking. [Website](http://www.cms.gov/Research-Statistics-Data-and-Systems/Monitoring-Programs/Data-Analysis/index.html)
  Describes and gives information on how to access various types of CMS longitudinal and cross-sectional data.
  Provides information, updates, and resources on the ICD-10 transition.
  Explains how Medicare contractors use statistical sampling and overpayment estimation in connection with government-initiated claims reviews.
- National Correct Coding Initiative Edits. [Website](http://www.cms.gov/Medicare/Coding/NationalCorrectCodInitEd/index.html?redirect=/nationalcorrectcodinited/)
  Policy for and background on CMS initiatives to control improper coding in the Medicare program.
- Fraud Prevention Toolkit. [Website](http://www.cms.gov/Outreach-and-Education/Outreach/Partnerships/FraudPreventionToolkit.html)
  Provides links to sources of criteria and procedures for health care fraud prevention.
  Resources for how to report Medicaid fraud, including a link to a list of contacts for all State Medicaid agencies and State Medicaid Fraud Control Units.

Professional Guidance and Associations

  Provides guidelines and processes for health care billing audits.
  Gives an end-to-end process for claim preparation from the viewpoint of the AMA, along with related checklists and forms.
  Lists and discusses the effects of certain billing errors.
  Offers background information, articles, guidance, and educational resources to assist with implementing the ICD-10 code set.
  Provides information on and forms for billing audits and using peer reviewers as process participants.
- American Association of Professional Coders. Auditing. [Website](https://www.aapc.com/medical-auditing/)
  The criterion source for information about claims coding and related training.
Pronouncements and technical guidance from the Auditing Standards Board, the senior technical body of the AICPA designated to issue pronouncements on auditing matters.

The following organizations may also be sources of useful contacts and information:

• Health Care Compliance Association. https://www.hcca-info.org/
• Association of Certified Fraud Examiners. http://www.acfe.com/
• National Association of Medicaid Fraud Control Units. http://www.namfcu.net/
• National Association for Medicaid Program Integrity. https://nampi.net/
• National Association of Medicaid Directors. http://medicaiddirectors.org/
• Association of Inspectors General. http://inspectorsgeneral.org/
• The Institute of Internal Auditors. https://na.theiia.org/Pages/IIAHome.aspx

Disclaimer

This resource guide was current at the time it was published or uploaded onto the web. Medicaid and Medicare policies change frequently so links to the source documents have been provided within the document for your reference.

This resource guide was prepared as a service to the public and is not intended to grant rights or impose obligations. This resource guide may contain references or links to statutes, regulations, or other policy materials. The information provided is only intended to be a general summary. Use of this material is voluntary. Inclusion of a link does not constitute CMS endorsement of the material. We encourage readers to review the specific statutes, regulations, and other interpretive materials for a full and accurate statement of their contents.

February 2015