



Provider Self-Audit FAQs

Q1. What is a provider self-audit?

A self-audit is an audit, examination, review, or other inspection performed both by and within a given physician's or other health care professional's practice or business. In other words, a self-audit is audit work that the entity does for itself.

The purpose of the self audit is to ensure services billed to Alaska Medicaid are supported by adequate documentation. Specifically, the documentation must include the elements identified in 7 AAC 105.230 and any other regulation specific to your provider type. In addition, the self-audit process helps to assess, correct, and maintain controls to promote compliance with applicable laws, rules, and regulations. The Department of Health and Social Services has published a self-audit checklist to assist with the process.

Q2. The self-audit process referenced in 7 AAC 160.115 appears to apply to medical practices. I own a 12-bed assisted living home; does this biennial requirement apply to me?

Yes. The self-audit requirement applies to all enrolled Alaska Medicaid providers.

Additional information about self-audits is available at

<http://dhss.alaska.gov/Commissioner/Pages/ProgramIntegrity/default.aspx>.

Q3. When do I have to start performing self-audits? Do I need to submit one now for 2016 & 2017 or is it after June 2018?

Alaska Medicaid providers are required to complete a self-audit once every two years. The first self-audit is due on or before June 8, 2020. For example, a provider may choose to conduct a self-audit on calendar year 2017 or 2018 claims. To account for timely filing, the provider must wait until the end of 2019 to begin the review. Due to the timely filing requirement, an audit of calendar year 2019 will not be accepted for the audits due on June 8, 2020. A sample of claims would be reviewed for compliance with regulations and due no later than June 8, 2020.

Q4. Will self-audit assistance or training be available to providers and billers?

The following educational documents have been created by Medicaid Program Integrity to assist providers through this new requirement and have been posted on the Medicaid Program Integrity webpage.

- Suggested Provider Self-Audit Steps
- How to Determine the sample size in RAT-STATS
- How to Obtain a Statistically Valid Random sample in RAT-STATS
- Provider Self-Audit checklist
- Additional self-audit information, including the Provider Self-Audit Attestation form, is available at <http://dhss.alaska.gov/commissioner/pages/programintegrity/default.aspx>.

Q5. How frequently must self-audits be completed?

Self-audits must be completed once every two years.

Q6. What is the “universe” of claims?

The universe of claims is the total number of paid Medicaid claims for the selected calendar year at the claim header level; Transaction Control Numbers (TCN) identified on your Remittance Advices (RA).

Q7. Will the department or its fiscal agent, Conduent, be able to provide a claims download for providers for their selected calendar year self-audit?

No, a provider may use their RA information together with their internal practice software and accounting system to develop the universe of claims for review.

Q8. How many claims should be reviewed, and over what date spans?

The number of claims (sample size) is determined using a statistically valid random sampling tool such as RAT-STATS or other statistical software <https://oig.hhs.gov/compliance/rat-stats/index.asp>. Audits span one calendar year of paid claims. Depending on the size of your universe, Medicaid Program Integrity is looking for a sample size in the range of 60-120 claims at the Medicaid Provider Identification level. If you are a large organization or auditing at the taxpayer identification level your sample size may be larger.

Q9. When is an overpayment considered to be “identified”?

A person has identified an overpayment when the person has or should have, through the exercise of reasonable diligence, determined that the person has received an overpayment and quantified the amount of the overpayment. An overpayment must be reported within 10 days and a repayment must be made within 60 days after the date on which the overpayment was identified, unless a repayment agreement has been established.

Q10. What should be included in the self-audit report?

The self-audit report should identify the method used to sample the claims, the sampled claims Medicaid assigned transaction control number (TCN), the outcome of the individual claim audit (i.e. correct claim, incomplete/missing documentation, not medically necessary, billed as a consultation rather than an office visit, upcoded, unbundled), the identified amount of overpayment back to the department, and a corrective action plan, if necessary.

Q11. What if my electronic medical records (EMR) does not capture the Medicaid transaction control number (TCN) from the remittance advice (RA)?

If you are unable to reproduce a complete listing of TCNs, you may utilize your internal claim identifier together with the following additional identifiers: the patient’s Medicaid ID number, the date of service and procedure or revenue code billed. This will be sufficient information for Medicaid Program Integrity to tie back to the TCN.

Q12. If overpayments are discovered through the self-audit, where do I send the money?

Checks should be made payable to the State of Alaska and should be submitted to:

DHSS/Medicaid Program Integrity
Attn: Provider Self-Audits
3601 C Street, Suite 902
Anchorage, AK 99503

Medicaid Program Integrity Resources

- Medicaid Program Integrity webpage
<http://dhss.alaska.gov/Commissioner/Pages/ProgramIntegrity/default.aspx>
- Provider Self-Audit Attestation form
<http://dhss.alaska.gov/Commissioner/Documents/medicaid/PV-Self-Audit-Attestation.pdf>
- Office of Inspector General Statistical Software RAT-STATS
<https://oig.hhs.gov/compliance/rat-stats/index.asp>
- Medicaid Program Integrity email address
QAPIProgramIntegrity@alaska.gov
- Provider Self-Audit regulations:
<http://dhss.alaska.gov/commissioner/pages/programintegrity/default.aspx>