

**DEPARTMENT OF SOCIAL SERVICES
AUDIT PROTOCOL – HOME CARE SERVICES
UPDATED FEBRUARY 1, 2015**

Listed are the most common audit findings for Medicaid home care services, and clarification of the criteria Connecticut Department of Social Services (the “Department”) uses when it makes those findings. Disallowances for home health services under the Medicaid program are governed by policies included in Connecticut Medical Assistance Program Provider Manual (PM), the Medicaid Provider Enrollment Agreement (PA) and Addendum to Agreement (Addendum), Provider Bulletins (PB), Personal Service Agreement with Access Agency (PSA), the Regulations of Connecticut State Agencies (Conn. Agencies Regs.), and the Connecticut General Statutes (Conn. Gen. Stat.). Please see the protocol for home health services for additional requirements that may apply to home health services.

Audit Finding	Department Criteria	Regulatory Reference
Billing - Hours Billed in Excess of Activity Documentations	The Department will disallow the difference between the number of hours billed and the number of hours documented if the amount of hours paid exceeds the number of hours documented on the timesheet.	Conn. Agencies Regs. §§ 17b-342-3(a)(7); 17b-342-1(d)(7) PSA (Prior to 7/1/2013) Addendum Sections 1 and 11 (subsequent to 7/1/13)
Billing - Hours Paid Exceed Hours Authorized on the Service Orders	The Department will disallow the difference between the number of hours billed and the number of hours approved on the service order if the amount of hours paid exceeds the number of hours approved on the service order.	Conn. Agencies Regs. §§ 17b-342-3(a)(7); 17b-342-1(d)(7) PSA (Prior to 7/1/2013) Addendum Sections 1 and 11 (subsequent to 7/1/13)
Billing - Services Billed Not in Accordance with Service Order	The Department will disallow payment if the service was not approved on the service order. For example, if the service order approved companion services, and the Department paid for homemaking services, the homemaking services would be disallowed.	Conn. Agencies Regs. §§ 17b-342-3(a)(7); 17b-342-1(d)(7) PSA (Prior to 7/1/2013) Addendum Sections 1 and 11 (subsequent to 7/1/13)

Services - Recipient Not Home	The Department will disallow payment if the service was provided while the recipient was not home. The following services are exceptions to this rule: chore, highly skilled chore, minor home modifications, and homemaking & companion tasks related to performing errands or accompanying recipients on errands or to appointments.	PSA (Prior to 7/1/2013) Addendum Section 3 (subsequent to 7/1/13)
Services - Not Rendered	The Department will disallow payment if the service is one that could not have been rendered under the individual's circumstances. For example, the Department will disallow payment for homemaking or companion services while a recipient is in a hospital or nursing home.	Conn. Agencies Regs. § 17b-342-3(a)(10) PSA (Prior to 7/1/2013) Addendum Section 1 (subsequent to 7/1/13)
Services - Doctor Visits	The Department will disallow payment when the only activity documented on the timesheet is to take the patient to a medical appointment, yet the audit confirms that the recipient did not see the medical provider during the time of the home care service recorded on the timesheet. If the appointment was canceled after the provider brought the recipient to the medical appointment, this should be documented on the timesheet.	Conn. Agencies Regs. § 17b-342-3(a)(10) PSA (Prior to 7/1/2013) Addendum Section 1 (subsequent to 7/1/13)
Documentation - Signature Authenticity	The Department will disallow payment for service if there are clear inconsistencies in the recipient's signature. Examples of inconsistencies would be when the recipient's signature is clearly different between timesheets of different homemaker/companion workers or the recipient's signature does not match the signatures of other documents in the case file.	PSA (Prior to 7/1/2013) Addendum Sections 22 through 24 (subsequent to 7/1/13)
Documentation Signature Inappropriate	The Department will disallow payment for service if the timesheet was not signed using one of the approved methods. If a recipient is unable to sign for various reasons, the provider must notify the access agency. The use of a signature stamp is not an appropriate substitution for a recipient's signature.	PSA (Prior to 7/1/2013) Addendum Sections 22 through 24 (subsequent to 7/1/13)
Documentation - Timesheet Missing	The Department will disallow payment if the timesheet is not available for review.	PSA (Prior to 7/1/2013) Addendum Sections 22 through 25 (subsequent to 7/1/13)

Documentation - No Activities Indicated on Timesheet	The Department will disallow payment for activities if the activities performed are not indicated on the timesheet. It is unacceptable for the timesheet to say "other" or "miscellaneous." The specific activity that was performed must be documented.	PSA (Prior to 7/1/2013) Addendum Section 23 (subsequent to 7/1/13)
Documentation – No Recipient Signature on Timesheet	The Department will disallow payment if the timesheet is missing the recipient's signature.	PSA (Prior to 7/1/2013) Addendum Sections 22 through 24 (subsequent to 7/1/13)
Documentation – Authorization of Emergency Response System	The Department will disallow payment for service if the recipient did not sign the emergency response system agreement.	PSA (Prior to 7/1/2013) Addendum Section 23 (subsequent to 7/1/13)
Documentation - Meals on Wheels	The Department will disallow payment for service if the service was not included on the daily log.	PSA (Prior to 7/1/2013) Addendum Section 23 (subsequent to 7/1/13)
Documentation – Testing the Emergency Response System	The Department will disallow payment for service if the provider cannot provide documentation that a monthly test of each system to assure proper operation occurred.	PSA (Prior to 7/1/2013) Addendum Section 23 (subsequent to 7/1/13) Conn. State Regs. § 17b-342-2(m)
Documentation – Adult Day Care	The Department will disallow payment for adult day care services if the attendance log at the Adult Day Care does not document that the recipient attended a half-day or full-day session, and is not approved and signed by the Director of the adult day care center each day.	PSA (Prior to 7/1/2013) Addendum Section 23 (subsequent to 7/1/13)