

# COMPLIANCE REVIEW PREP GUIDE

## Medicaid Direct Service Claiming Program

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DSC BILLING SERVICE  
P.O. BOX 667  
SAN MANUEL, AZ 85631

TOLL FREE (800) 866-7882

FAX (520) 385-3062

### Preparation for a Compliance Review

**AS SOON AS AN AUDIT HAS BEEN SCHEDULED WITH YOUR DISTRICT, CALL THE DSC BILLING SERVICE DIRECTOR AT (520) 866-7882. FAX A COPY OF THE LETTER AND STUDENT LIST FROM MAXIMUS TO YOUR BILLING CONSULTANT.**

- Arrange for an area close to your office with large work areas. There are two or three auditors at each audit.
- The compliance reviews usually begin at 9 a.m., and end about 3:00. They usually last one full day, but may be longer if the number of files to be reviewed is large.
- Arrange for the district contact person to be available at the beginning of the compliance review to “interpret” district terms, attendance records and codes, etc. and to locate any additional or missing items.
- Arrange for the contact person/Special Education Director/Assistant Superintendent and/or the Superintendent to be available for a short exit conference at the end of the audit.
- Read the letter carefully to determine the types of information to be examined. Determine the type of service and the date of service for each student being reviewed. Please call your billing consultant if you need help determining what type of service log is going to be reviewed.

#### **STEP 1.**

Check the IEP’s for each student being audited, and “tag” the items/information listed below. Make specific notes as a reminder to locate missing items, etc.

**Make sure a “Record Access Form” is included in each file for the compliance reviewers to sign.**

Locate and tag the following areas in each student’s IEP, covering the dates of service being reviewed:

- Goals, objectives and/or benchmarks.
- Multidisciplinary Evaluation Team Report (Met)
- Special Education Eligibility Form

- Quarterly Progress Reports for the IEP goals being reviewed. Each of these needs to be signed by the provider (Case Manager, OT, PT, etc.). This is a requirement of Medicaid, and needs to be completed even if you do not routinely do this in your District.
- Locate and tag the appropriate area(s) of the IEP, if applicable, that describe or explain the need for health aides, specialized transportation and/or nursing services. These could be in:
  - Present Level of Performance
  - Supplemental Aids and Support
  - Placement/Services To Be Provided
  - Persons Responsible
  - Program Support

## **STEP 2.**

Prepare file folders with the following labels:

### **ONE FOLDER FOR EACH STUDENT BEING AUDITED – labeled as follows:**

**Student Name**  
**Student AHCCCS ID**  
**Student DOB**

- Place all “original” service log sheets that will be reviewed in these files.
- Place the attendance record for the student that covers the dates of service being reviewed in this file.

### **A FOLDER LABELED “HEALTH ATTENDANTS”:**

Provide copies of the following for all health attendants whose services are being reviewed:

- First Aid Card
- CPR Card
- Documentation that the health aide has received training for any specialized services they provide for students (i.e. OT goals, speech goals, etc.)

### **A FOLDER LABELED “TRANSPORTATION SERVICES”:**

Copies of the following for all bus drivers whose services are being reviewed:

- First Aid card
- CPR card
- Driver’s License

Make sure the cards cover the dates being reviewed.

### **A FOLDER LABELED “PROVIDERS”:**

- Provide copies of licenses/certificates for service providers.

Make sure the certificates or licenses cover the dates being reviewed.

**A FOLDER LABELED “DISTRICT”:**

- Copy of district’s policy on Confidentiality of Records
- School calendars for the school year(s) being audited

## **ON THE DAY OF THE COMPLIANCE REVIEW:**

**Arrange for an area close to you with several large tables or work spaces. There will be two or three auditors that will need adequate space to spread out the files they will be working with.**

### **A typical schedule should be:**

- Introductions
- District contact (or designee) will go over organization of files, IEP formats, attendance codes, evaluation formats, where to sign for access to files, etc.
- Point out locations of restrooms, snack or soda machines, etc.
- At approximately 3:00 p.m., the group will have a short exit conference with the Director and appropriate staff. Check after lunch to obtain an approximate time.