

# Medicaid Audit Preparedness Suggestion

## 1. Administrative File for School Year:

- Credentials for all Qualified staff (All Sections)
- Electronic Signature Verification Forms
- *Statement of Reassignment Form (for all Contracted Service Providers) \**
- Approvals for BHPs including length of provisional status (Sections 28 and 65 only)
- Evidence of supervision (or under the direction of) for all BHPs, PTAs, COTAs, OTA/Ls, SPAs (All Sections)
- *School Calendar (Just one copy for each school district and those out of district placements) \**
- *Unexpected Closings List (Just one copy for district and any out of district placements) \**
- Salary Information (All Sections for qualified staff)

*\*While these items are not required by MaineCare policy, MSB recommends inclusion in the administrative file.*

## 2. Individual Student Files

Documentation:	SH	PT	OT	65	28	Notes
IEP	X	X	X	X	X	
Referral/Order (ORRF)	X	X	X	X		
KEPRO Referral Document					X	Updated August, 2016
Plan of Care (IEP + MCDF)	X					
Plan of Service (IEP + MCDF)		X	X			
ITP				X	X	Consider MSB suggested template
Pertinent Medical/Social Information	X	X	X			If available
Evaluation and Diagnosis	X	X	X	X	X	
Documentation of Service Delivery	X	X	X	X	X	Lumea™
Written Progress Notes		X	X	X	X	Lumea
Quarterly Progress Notes	X					Lumea?
Periodic Review of the Plan of Care	X					Annual IEP/MCDF Review?
Periodic Reviews for quality Control purposes				X		Implementation and Audit Criteria Checklist
Discharge Plan/Closing Summary	X			X	X	If applicable for SH & 65, required for 28
Multi-axial Evaluation with Diagnosis**				X	X	DSM, DC 0-3
Functional Impairment Evaluation + Diagnosis				X	X	
Comprehensive Assessment, including summary				X	X	Signed, credentialed, and dated
Evidence of Involvement				X	X	Parent(s) or Guardian(s), others as appropriate
Updates of Comprehensive Assessment				X	X	Annually, or when level of care changes or major life event occurs
90 Day Reviews				X	X	
Crisis Plan				X***	X	
KEPRO Prior Authorization				X	X	
Attendance***	X	X	X	X	X	
Parental Consent Form****	X	X	X	X	X	
Annual Notification of Parental Consent Rights****	X	X	X	X	X	

*\*\* MSB is aware that Kepro has updated to the DSM-5 language that removes Multi-axial terminology; however, until DHHS makes corresponding updates to policy, we will continue to use the policy's language.*

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*\*\*\*MaineCare policy indicates a Crisis/Safety Plan is required only where indicated by the Covered Service, and there is no indication that a Crisis/Safety Plan is required for CBHDT in policy. However, DHHS published a School Based Audit Checklist for Section 65 and Section 28 in October of 2013, indicating that students receiving CBHDT services must have a Crisis Safety Plan.*

*\*\*\*While these items are not required by MaineCare policy, MSB recommends inclusion in the student file. Parental consent/annual notification is a requirement of the IDEA.*