

**Fiscal Monitoring Guide  
for Home and Community Support Services Agencies**

Participant Name	Participant Medicaid No.	Review Month
Location of Participant <input type="checkbox"/> AL/RC <input type="checkbox"/> AFC <input type="checkbox"/> Own Home	Service <input type="checkbox"/> CBA <input type="checkbox"/> ICM	ISP Period
HCSS Agency Name	Vendor No.	Region No.
Name of Monitor	Type of Review	Date of Review

**CBA-HCSS Financial Errors (\$48.6090), ICM-HCSS Financial Errors (\$53.1207)**  
**A reduction of 100% of the paid unit rate is the financial error exception. This exception is applied to the units of service for the following:**

	Service Codes	Period Covered by Error and Units of Error
1. DADS reimburses the provider agency for services, but Form 3670, Documentation of Services Delivered, or facsimile is missing for the period for which services are reimbursed. DADS applies the error to the total number of units documented on the time sheet.		
2. The attendant, nurse or therapist leaves the entire record of time section blank. DADS applies the error to the total number of units documented on the time sheet.		
3. DADS reimburses the provider agency for hours that exceed the authorization given by DADS. DADS applies the error to the total number of units reimbursed in excess of the units authorized by DADS, unless purchased following emergency procedures. For nursing services, the maximum that may be reimbursed is the number of hours listed under "direct nursing hours" on the individual service plan/nursing service plan.		
4. DADS reimburses the provider agency for any waiver service that is not identified on the individual service plan, (Form 3671 and attachments), unless the service was provided as a result of an emergency and is supported by backup documentation supplied within seven DADS workdays from the date the emergency was determined. DADS applies the error to the entire amount reimbursed for such services.		
5. DADS reimburses the provider agency for hours that exceed the total number of hours recorded on Form 3670, Documentation of Services Delivered, or approved facsimile. DADS applies the error to the total number of units reimbursed in excess of the units recorded on the time sheet. If the sum of the daily total of hours does not equal what is written in the monthly total blank, the lesser of the two totals is used to calculate the total number of hours subject to the error.		
6. DADS reimburses the provider agency for nursing, physical therapy, occupational therapy or speech pathology services, but a valid physician's order is missing. DADS applies the error to the total number of units claimed and not covered by a valid order.		
7. DADS reimburses the provider agency for service, other than a pre-enrollment home health assessment, delivered prior to the eligibility effective date on Form 2065-A, Notification of Community Care Services. DADS applies the error to the total number of units reimbursed for such services that were delivered before the effective date on the form.		

	Service Codes	Period Covered by Error and Units of Error
8. DADS reimburses the provider agency for any hours that consisted of non-billable time and activities as identified in §48.6080 of this title (relating to Non-Billable Time and Activities). DADS applies the error to the total number of units reimbursed in excess for such services.		
9. DADS reimburses the provider agency for more than four hours of nursing used to decide whether to delegate to an Adult Foster Care provider. DADS applies the error to the total number of units reimbursed in excess of the four-hour maximum for such services.		
10. DADS reimburses the provider agency for more than 10 hours during the participant's individual service plan year for nursing services being performed by a nurse to prevent service breaks caused by the attendant not being available to provide delegated nursing tasks. DADS applies the error to the total number of units reimbursed in excess of the 10-hour maximum for such services.		
11. DADS reimburses the provider agency for an amount in excess of the amount documented on the invoice/receipt for adaptive aids, medical supplies or minor home modifications. DADS applies the error to the total number of dollars reimbursed in excess of the amount on the invoice/receipt, plus the appropriate dollar amount of the requisition fee, if applicable.		
12. There is no invoice/receipt for the purchase of adaptive aids or medical supplies, or for the completion of minor home modifications for which the provider has been reimbursed for the medical supplies, adaptive aids or minor home modifications in question, including the requisition fee.		

	Number of Units Reimbursed in Error	Unit Rates	Total Dollar Amount Reimbursed in Error
a. PAS			
b. Nursing			
c. OT			
d. PT			
e. SP			
f. Respite			
g. Minor Home Modifications .....			
h. Adaptive Aids.....			
i. Medical Supplies .....			
<b>Total Financial Errors:</b>			

**CBA-HCSS Administrative Errors (§48.6090), ICM-HCSS Financial Errors (§53.1207)**  
**A recoupment of 12% of the paid unit rate is the administrative error exception for services billed on an hourly basis. It represents the administrative portion of the rate. Administrative errors are applied to the documentation reviewed and are not extrapolated. Administrative errors include, but are not limited to, the items in paragraphs 1 – 2 of this subsection.**

	Service Codes	Period Covered by Error and Units of Error
1. Administrative errors on Form 3670, Documentation of Services Delivered, or the prior approved facsimile:		
A. The provider agency leaves the month and year of service blank. DADS applies the error to the total number of units documented on the time sheet.		
B. The timekeeper fails to enter a date of signature to certify the total number of hours the attendant, nurse or therapist worked. DADS applies the error to the total number of units documented on the time sheet.		
C. The timekeeper corrects the date of signature, but fails to initial the correction. DADS applies the error to the number of units reimbursed after the earliest signature date.		
D. The timekeeper enters an illegible date of signature or makes an illegible correction to the date. DADS applies the error to the total number of units documented on the time sheet.		
E. The timekeeper enters a date of signature that is before the date of the last day services are delivered. DADS applies the error to the total number of units reimbursed after the signature date.		
F. The timekeeper fails to sign the time sheet. DADS applies the error to the total number of units documented on the time sheet.		
G. The timekeeper uses a signature stamp, but fails to initial the stamped signature. DADS applies the error to the total number of units documented on the time sheet.		
H. The attendant, nurse, therapist and/or timekeeper uses liquid paper/correction fluid to correct an entry in the record of time, signature or date portion of the time sheet. DADS applies the error to the total number of units documented on the time sheet. If the liquid paper/correction fluid is used only on a daily entry in the record of time, DADS applies the error only to the total number of units reimbursed that day.		
I. The attendant, nurse, therapist and/or timekeeper makes an illegible entry in or an illegible correction to any portion of the record of time column. DADS applies the error to the total number of units reimbursed for the days in which entries are illegible.		
J. The attendant fails to initial an increase in the daily time or the monthly total of hours for the pay period. DADS applies the error to the number of units reimbursed in excess of the original entry.		

	Service Codes	Period Covered by Error and Units of Error
K. The attendant, nurse, therapist or other agency representative fails to sign Form 3670, Documentation of Services Delivered, or approved facsimile. DADS applies the error to the total number of units documented on the time sheet.		
L. DADS reimburses the provider agency for nursing, therapies, personal assistance services or in-home respite, but a valid individual service plan (pages 1-3 and all pertinent attachments) signed by the case manager is missing for the period reimbursed by the agency. DADS applies the error to the total number of units of nursing, therapies, personal assistance services or in-home respite claimed and not covered by a valid individual service plan.		
M. DADS reimburses the provider agency for nursing services and there is no other documentation available that the nurse provided billable nursing services during the visit.		

	Number of Units Reimbursed in Error	Unit Rates	Total Dollar Amount Reimbursed in Error
a. PAS			
b. Nursing			
c. OT			
d. PT			
e. SP			
f. Respite			
<b>Total:</b>			
<b>Hourly Administrative Errors Sub-total:</b>			

x 12%

	Service Codes	Amount of Requisition Fee
2. The following items are administrative errors resulting in recoupment of the entire requisition fee:		
A. There is no Form 3848, Documentation of Completion of Purchase, but there is a receipt for the purchase of adaptive aids, or for the completion of the minor home modification.		
B. Bids were required for the purchase of an adaptive aid or the completion of a minor home modification and bids were not solicited.		
C. DADS reimburses the provider agency for the purchase of medical supplies, but there is no documentation available that price list/price quotes were obtained from three suppliers for the items for which the provider has been reimbursed, or the price list/price quotes were obtained more than 12 months before the purchase.		
D. DADS reimburses the provider agency for the purchase of adaptive aids, but there is no documentation available that price list/price quotes were obtained from three suppliers for the items for which the provider has been reimbursed, or there is no documentation available that the supplier selected on an annual basis to deliver the adaptive aids had the lowest prices for the main type of adaptive aids the agency has purchased.		

Amount of MHM Requisition Fee Error .....	
Amount of AA Requisition Fee Error.....	
Amount of MS Requisition Fee Error .....	
Total Amount of Requisition Fee Error .....	
Hourly Administrative Error Sub-total .....	
Total of Administrative Errors .....	
Grand Total of Administrative/Financial Errors .....	