

This checklist is intended to serve as a general resource to help guide your preparation efforts for an audit. It does not guarantee compliance or ensure a successful audit outcome. It does not guarantee every item you may need for an audit. Always consult with your compliance officer, legal advisor, or relevant regulatory body for specific requirements applicable to your organization.



Administrative Compliance

- ☐ Ownership & managing employee disclosures filed and updated
- ☐ Exclusion screening at hire and monthly thereafter
- ☐ NPI enrollment validation
- ☐ Signed Provider Participation Agreement maintained
- ☐ Process to identify, report and refund overpayments



DHSR Licensure

- ☐ Active Home Care License
- ☐ Personnel records complete and current
- ☐ RN supervisory visit completed at least every 90 days
- ☐ Infection control program implemented
- ☐ Client rights and complaint process communicated



Clinical PCS

- ☐ Physician referral present and valid
- ☐ Independent assessment supports authorized hours
- ☐ Care plan individualized and supports ADL deficits
- ☐ No billing during hospitalization or institutional stay
- ☐ PCS reassessment completed within required timeframe
- ☐ Care plan updated timely after change in condition



EVV

- ☐ EVV captures required federal data elements
- ☐ EVV exceptions documented and reviewed
- ☐ Late entries clearly identified and supervisor reviewed
- ☐ Audit trail of visit edits maintained



Billing

- ☐ Authorization span and units match billed services
- ☐ Claims not billed outside authorization dates



Personal Compliance

- ☐ New and updated training
- ☐ RN competency evaluation completed
- ☐ Bloodborne pathogen training completed
- ☐ TB screening completed per policy



Program Compliance

- ☐ Quarterly internal record audits conducted
- ☐ Billed service hours periodically reconciled with caregiver paid hours
- ☐ Utilization outlier review performed
- ☐ Medicaid records retained minimum required period