

2012 PCPO Assurance Audit Tool	statute subd	Yes	No	N/A	Reviewer Comments - MMS
PCA / PCA Choice: HOME AT HEART CARE Clearbrook, MN	256B.0659	X			
DATE: 11/20/2012					
Contact Person: Bruce Emmel, CEO					
Surety Bond Coverage	21 (a) (2)	X			Auditor reviewed Bond # RL10634569 effective thru 11/1/2013
Fidelity Bond Coverage	21 (a) (3)	X			Auditor reviewed Bond # RBS615915
Worker's Compensation Insurance Coverage (exclude if Class A)	21 (a) (4)	X			Auditor reviewed Policy # 0000279988 effective thru 7/5/2013
Liability Insurance Coverage	21 (a) (5)	X			Auditor reviewed Policy # CRLG23590748005 effective thru 4/13/2012
Agency Description / Personnel List & Affiliations	21 (a) (6) DHS Form 6041	X			Auditor reviewed DHS Form 6041 Personnel List
Written Policies and Procedures	21 (a) (7)	X			Auditor reviewed Care Giver Policy Manual & Operations Manual and PCA Care Plan, both manuals are fully complete. See Tables of Contents attached.
All Other Forms	21 (a) (8)	X			Auditor reviewed Medicare FWA, employee orientation documents, Time Sheet, Client Guide. (see Table of Contents attached), PW member client list, Emergency Preparedness Plan.
Training and Classes	21 (a) (9)	X			Auditor reviewed complete training records. Course syllabus is attached.
Documentation regarding Successful Completion of Required Training	21 (a) (10)	X			Auditor reviewed all employee training logs.
Documentation of Marketing Practices	21 (a) (11)	X			Auditor reviewed multi-media marketing documentation including classified ads, brochure (attached), Business Reviews, radio, Minnesota Works.
Disclosure of Ownership and Control Interest	21 (a) (12) DHS Form 5259	X			Auditor reviewed - See attached
Percentages of Revenue Generated from the Medical Assistance Rate Paid for PCA services for Employee PCA Wages and Benefits	21 (a) (13)	X			Auditor reviewed current payroll summaries to verify 73.30% as of 10/6/2012
Recipients' Free Exercise of Right to Choose Service Providers	21 (a) (14)	X			Auditor reviewed information contained in MN Home Care Bill of Rights
Individual PCA Agreements, Requirements or Non-Compete Clauses	MHCP/PCA Agency Application Assurance Statement DHS Form 6005	X			Auditor reviewed PW_2010_304 (DHS - 6005ENG)
Annual Review for Personal Care Providers	22 (c)	X			Auditor reviewed 2010 annual review documentation submitted to DHS 8-2010. 2010 is the last year DHS requested review documents from this provider.

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Designation of PCA Billing Person	DHS Form 6000	X			
Qualified Professional (QP) Requirements Met	256B.0659 subd.13; 256B.0625 subd.19C DHS Form 4022-C	X			Auditor reviewed all DHS Forms 4022-C & accompanying DHS "Steps For Success" training certificates.
Licensure Restriction, Condition, Suspension or Termination	MHCP Provider Update PCA-10-01		X		
State or Federal sanctions or limitations			X		
Written Record of Grievances received by PCPO in previous year and resolutions to same	256B.0659 subd.20.(4)	X			Auditor reviewed Grievance Resolution records from 2009 through 2012
<u>NOTE:</u> Auditor also reviewed all DHS Form 6426 "Individual PCA Relationship Acknowledgement".		X			