

Audit Checklist

Community Living Supports Individual/Respite

Community Living Supports Individual/Respite

Accommodations

Training for Accommodations

Provider has proof of training relating to accommodations (cultural diversity, disability sensitivity, LEP, etc.) Accommodations training needs to include any special trainings needed for consumer accommodations such as lifts, sign language, diabetes, etc.

Competencies

Services Documented

Services are provided appropriately and documented.

Staff Knowledge, Skills, Experience

Staff has the knowledge and skills to meet the needs and desired outcomes of the clients, including experience in working with persons with mental health needs.

Training Minimum Standards

Minimum training standard for service type is met based upon SCCMHA Training Grid and is documented in staff file. Looking for 80% compliance overall with training for persons that have been employed over 60 days. (Refer to Pre-Audit review)

Customer Service/Consumer Input

Assistance to Consumers

Consumers are offered assistance as requested or indicated.

Dignity and Respect

Consumers are treated with dignity and respect

Health & Safety

Consumer Health

The promotion of consumer health is evident.

Emergency Procedures

Provider has emergency procedures (fire, medical, and severe weather emergencies, etc.) that are reviewed with new employees and annually and proof that these procedures are followed by staff (listing of emergency contacts and phone numbers posted).

PCP

ORR-PCP Current

The PCP is current, on file, modified when indicated, and used by staff (PCP should be renewed at minimum of 1time a year--done as needed which means adendums are completed when significant changes occur in consumer life, consumer needs more or less supports, consumer has attained goals).

PCP Scope

Amount, duration, scope of services are supported by PCP (What services, how often, and how long).

Pre-Audit Review

Audit Checklist

Audit Findings Other	There are plans of correction from Contract Compliance. (Review Contract file)
Case Managers/Supports Coordinator Communications	Verify through letters, correspondence, meeting minutes, review logs, surveys to supervisors/chairpersons, etc. (Contact Case Manager/Supports Coordinator for issues, comments, etc.)
Consumer Participation in Audit	A consumer must be involved in at least one audit per category of audits.
Contracts	Provider has current contract with SCCMHA, or is in process of renewing contract. (Review Expirations Report from DB)
Eligibility	Consumers are eligible to receive services from SCCMHA. (Medicaid is in effect or other CMH coverage--MI Child, Subsidy, Children's Waiver-- is in place)
Entrance conference with provider on date of audit.	Sit down with provider to go over how the audit process will take place and what the expectation is of the provider during the visit.
Exit Conference with provider on date of audit.	Talk to provider about what your findings were, highlight good points as well as areas where they can expect citations, and an anticipated date of written report. Also remember to give a copy of the audit questionnaire.
Grievances Addressed	All grievances on file have been addressed--corrective action plan(s) in place. (Contact Recipient Rights/Customer Service Supervisor)
Incident Reporting	Incident Reports are completed as needed and a copy is filed at SCCMHA. The incident reports are to be filed within 24-48 hours of the incident. (Contact Recipient Rights/Customer Service Supervisor)
Recipient Rights Corrective Action	Any Recipient Rights Corrective Action plans have been implemented. (Contact Recipient Rights/Customer Service Supervisor)
Training Records	Minimum training standard for service type is met based upon SCCMHA Training Grid (Review Training Grid Report from DB)
<u>Program Specific</u>	
Activities and Recreation	Consumers are offered frequent opportunities for home and community activities and recreation. Activities should encourage social interaction, further growth through first hand experiences, social graces, and productive utilization of leisure time. Activities are age appropriate, dignified, and community integrated. There is an activity calendar for planned activities.
Appointments	Various appointments are kept (medical, dental, psychiatric, etc.). When missed, they are documented appropriately.
Availability	Providers should be available within reason to provide services on demand. They must be available on weekends, holidays and summer vacation periods to meet consumer needs for services.
Case Manager Contact	The Case Manager, agency, name, and contact number are available. There has been open communication and frequency of correspondence is evident.
Coordination of Supports	There is evidence of communication between the direct care staff and other staff (if applicable), direct care staff and parent/guardian/SC/CM

Audit Checklist

Dietary needs	The provider monitors the availability of food for the consumer to have nutritious meals daily.
Document Accessibility	the provider will have access to items pertinent to providing care such as copy of service support plan, behavior treatment plan, health and safety sheet for the protection of the consumer receiving care.
Environmental Hazards	The provider monitors and/or address environmental hazards within the consumer's residence. (example: broken windows, leaky roof, chemicals, toxic materials, sharps, etc)
Interior	The interior is maintained, including furnishings being safe, clean, and usable and in good repair.
Liability Provisions	There are provisions in place for insuring against a range of liabilities.
Management of Consumer Funds	Access to funds is given to consumers as written and addressed in PCP. (Provider adheres to their role as specified in the PCP)
Meal Preparation Assistance	Assistance to the consumer is provided in shopping, meal preparation, and cooking. If applicable
Medication Administration	There is evidence that physician-prescribed oral medication, injection, or topical medication treatment is administered to a client. Medications are labeled as to what the medication is and when it should be given, with a label from the pharmacy. There is an appropriate, documented procedure for staff disposal of any and all discontinued or unused out of date medications. This should include documented witness that signs along with person who is disposing of the medications.
Personal Care Items	Basic supply of personal care items are provided by licensee to the consumer, such as: shampoo, toothpaste, and deodorant.
Policy Awareness	The provider is familiar with the Provider manual and has proof of receiving the Providers manual.
Provider Vehicles	If transportation is provided or required there must be proof of valid drivers license, appropriate auto insurance coverage(100/300) and a reliable and safe means of transportation
TB Test	Staff person has current TB test on file. Within 3 years.
<u>Quality Improvement</u>	
Plan of Correction from Last Audit	Provider submitted an acceptable plan of correction from last SCCMHA audit. Site specific provider has a copy of the plan of correction as submitted by corporate provider.
Repeat Citations	Provider has evidence that previous citations have been corrected from the last annual audit.