

# *Audit Checklist*

## *Community Living Supports--Corporate*

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#### **Client Financial Responsibility**

Signed Rental Agreements

All consumers living in SIP have a signed rental agreement with the SIP provider. The rental agreement should not exceed the rate provider agreed upon in SCCMHA contract. Copy of rental agreement should be filed in consumer chart. Rental agreement should have appropriate signatures by guardian/payee if consumer not own.

#### **Competencies**

Staff Absence Procedure

There is procedure available for covering staff absences.

Staffing

The program design and budget is adequate enough to meet program needs which includes staffing. Staffing levels should reflect the what provider agreed to in the SCCMHA contract.

#### **Documentation & Records**

Staff Work Schedules

Provider has proof documentation of staff work schedules.

Supervision Documented

There is documented evidence that non professionals were appropriately supervised. The evidence can be in performance evaluations, staff communication logs, staff meeting minutes. Evidence of supervision of support staff directly providing services.

#### **Health & Safety**

ORR-Facility site

The facility is safe, clean, odor free, habitable and provides a humane environment for consumers. The interior is maintained, including furnishings being safe, clean, and usable and in good repair. For CLS providers should be monitoring for possible health and safety issues and then contacting case manager/support coordinator.

#### **Pre-Audit Review**

Audit Findings Other

There are plans of correction from Contract Compliance. (Review Contract file)

Audit Findings--previous year

Audit findings from past year have been corrected. (Review Contract file) Check for Matt's home inspections as well as our audit files

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.)

Compliance Notices

Do they exist and if so what were responses. (Review Contract file)

Contracts

Provider has current contract with SCCMHA, or is in process of renewing contract. (Review Expirations Report from DB)

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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)
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)
<b><u>Program Specific</u></b>	
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.
Case Manager Contact	The Case Manager, agency, name, and contact number are available. There has been open communication and frequency of correspondence is evident.
Cooperation	Evidence of collaboration with others providing services.
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
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.
Emergency Notice	There is evidence of a protocol and/or understanding by support staff of who to call or notify if they call in, need work replacements, etc.
Emergency Preparation	Provider can identify location of emergency supplies (EXAMPLE: bottled water, battery operated radio, diapers, insulin, flashlights, first aid kit, emergency food supply). If location is facility based, the site has a First aid kit available and accessible for staff or consumers.
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)
Facility Accommodations	The Provider provides and/or promotes an appropriate environment for the provision of services. (examples: Private sleeping area, own bed, resources necessary to complete personal care).

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Fire Exits	The home has a written fire evacuation plan in writing or reviewed yearly during the PCP process.
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.
Non-medical care	All necessary non-medical supplies are present, accessible and used as required or needed by the consumer.( examples: band-aids, medicated shampoo, medicated lotions, eye drops, etc.)
ORR-Individuality/Lifestyle	Personal lifestyles are maintained while respecting others in the home. Consumers are allowed to personalize their living quarters within reason. Independent decision making is allowed and providers promote growth and individuality.
PCP Outcomes	Services and supports are based upon the desired outcomes and/or goals of the individual defined though a PCP process.
PCP Provisions	PCP addresses Client's need for food, shelter, clothing, health care, employment opportunities, educational opportunities, legal services, transportation, and recreation.
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
<b><u>Recipient Rights</u></b>	
ORR-Facility Initiates Contact with CM/SC When Appropria	There is evidence of provider initiating contact with CM/SC when there are concerns or issues that need to be brought to the attention of CM/SC to make changes in consumer plan or referrals to other team members.
ORR-House/Program Rules	House/Program Rules are posted, given to the consumers, reflect consumer input, and do not include any restrictions that would violate consumer rights. Questions regarding restrictiveness should be directed to recipient rights office.
ORR-Postage Available	There is postage available for residents to use and a way for residents to use mail services on a daily basis. Postage shall be provided in reasonable amounts to residents who are unable to procure such items.
ORR-Telephone Access	Consumers have access to a telephone to use at reasonable times. Telephone use/restrictions are posted in a conspicuous area.

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ORR-Use of Restraint or seclusion

From interviews with staff, Lead worker and consumers, consumers are not restrained, held down, or placed in seclusion.

## **Records/Policies**

Policies and Procedures

Policies and procedures are reviewed at least every 3 years and modified as necessary.

## **Service Related**

Communications

There is communication with case managers, support coordinators, or therapists about any concerns or problems. These communications may prompt plan changes or just awareness of items that may need to be followed up at next visit with consumer.

# Audit Checklist

## General

### Accommodations

ORR-Accessibility	The building/program site is accessible to all consumers who receive services. There are not items that impede the consumers from moving freely in common areas of the facility.
Policies and Procedures for Accommodations	The provider has proof of related policies/procedures for accommodations. These Policies should include how provider routinely identifies and addresses individual and systemic needs. Will assure access and accommodation of persons with Limited-English proficiency (LEP), assure system sensitivity and accommodation of diverse ethnic and cultural backgrounds, accommodation of individuals with communication impairments (including persons who do not use verbal language to communicate or who use alternative forms of communication, assure persons with visual, hearing or other physical impairments and mobility challenges are accommodated.
Provider Responsiveness	Provider demonstrates responsiveness to individual client needs (language, physical access accommodations, cultural needs, etc.)
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

Code of Conduct	Provider has a code of conduct for staff.
Competency Policy: Orientation Training	Provider has human resource procedures that address SCCMHA competencies for Orientation/training.
Competency Policy: Performance Monitoring	Provider has human resource procedures that address SCCMHA competencies for Performance Monitoring (evaluations). Provider will conduct routine performance evaluations on an annual basis at minimum.
Competency Policy: Staff Pre-hire screening	Provider has human resource procedures that address SCCMHA competencies for staff pre-hire screening. This should include Criminal Background checks and Recipient Rights checks, as well as licensing/credential checks, where applicable.
Human Resources Policy	Staff are credentialed, licensed, and policy is followed for appropriate program type. All roles providing services to consumers will be described in job descriptions, candidates for positions will be qualified against requirements and duties contained in job descriptions.
Job Descriptions on site	Job descriptions are available and are on file at provider location.
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)

### Confidentiality/Rights

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Confidentiality of Privacy	Provider demonstrates protection of individual's privacy.
Confidentiality of Records	Provider demonstrates protection of individual's information and records.
<b><u>Customer Service/Consumer Input</u></b>	
Assistance to Consumers	Consumers are offered assistance as requested or indicated.
Consumer Satisfaction	Consumer satisfaction is sought and action is taken to promote consumer satisfaction.
Dignity and Respect	Consumers are treated with dignity and respect
Program Areas	Consumers are involved in program areas (evaluation, quality, development, operations, governance).
<b><u>Documentation &amp; Records</u></b>	
Evidence-Based Practices	SCCMHA Provider adheres to the Evidence-Based Practices related to their service as measured by the SCCMHA review team.
Providers Complete Reference Checks	Providers are verifying references as a part of their pre hire screening and there is proof in the staff files.
Signatures	Appropriate signatures and titles are evident on file documents. (Consumer/guardian, SC/CM/Therapist and supervisor signed plan. Supervisor signed assessment.)
<b><u>Health &amp; Safety</u></b>	
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).
Health and Safety Policy	A Health & Safety policy/procedure is available for the facility.
Infection Control Plan	There is an infection control plan in place to address infection control. Policy and Procedure to address infection control issues.
Provision for 24/7	Providers have a provision to be able to reach them somehow. This can be through an answering service or via emergency cell phones etc. With reasonable response time of 1 hour. Substance Abuse providers must have 24/7 access.
Site Maintained	The property/fiscal plant/program site is maintained (if applicable). The environment of care is clean, organized, and free of hazards. Proof documents available such as preventative maintenance logs.

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Supervision

The program offers supervision of consumers in a safe and secure environment.

## **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 Consumer Input

Choice/preferences of individuals are sought, noted, and responded to (snacks, kitchen menu, work ordered day activities, etc.)

PCP Scope

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

## **Pre-Audit Review**

Consumer Participation in Audit

A consumer must be involved in at least one audit per category of audits.

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.

## **Quality Improvement**

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.

Quality Improvement

Provider has specific initiated or given goals/measures.

Repeat Citations

Provider has evidence that previous citations have been corrected from the last annual audit.

## **Recipient Rights**

ORR-Access to Incident Report Forms

Staff have unrestricted access to Incident Report Forms and staff know when and how to fill them out.

ORR-Access to Recipient Rights Booklets

Consumers or visitors have unrestricted access to the "Your Rights" Booklets with the correct contact information on the back of the booklet.

ORR-Access to Recipient Rights Complaint Forms

Consumers or visitors have unrestricted access to Recipient "Rights Complaint Forms"

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ORR-Other Counties Postings	There are other County or agency Recipient Rights postings other than Saginaw. Please list these for future reference by SCCMHA Office of Recipient Rights
ORR-Policies and Procedures	Provider has a copy of SCCMHA Recipient Rights Policies and Procedures and knows where to locate.
ORR-Recipient Rights Annual Training	Staff have had approved Recipient Rights Training within the last year.
ORR-Recipient Rights Posted	Recipient Rights Poster is posted with contact names and brochures/forms are available. Your Rights Summary Poster, Summary of Abuse and Neglect Reporting Requirements, Whistle Blowers Protection Act, Bullard Plawecki Act.
ORR-Recipient Rights Training	Staff have been trained in Recipient Rights within 30 days of hire by an approved training curriculum.
Periodic Review of Incident Reports	Provider has a process in place to review periodically all incident reports to look for trends, problem areas, for possible solutions or process improvements.