

Audit Checklist

Inpatient

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Chart Review

Discharge Planning

The discharge planning is initiated upon admission.

Discharge with Meds

Consumers are discharged with medication with a 2-4 week supply or prescription. Follow up appointment scheduled with SCCMHA psychiatrist.

Information Programs

There are information programs available to help consumers and families understand diagnosis, use of medication, risks and benefits of treatment.

Service Standard

Services include active treatment 7 days a week including evenings.

Substance Abuse

Substance abuse issues are addressed appropriately in the treatment plan.

Treatment Program

An active treatment program is provided.

Client Financial Responsibility

Ability to Pay Assessment

There is evidence of Ability to Pay Assessment determination. The ATP is current (within 12 months)

Competencies

Training Logs PM & UP

There are staff training logs for physical management and universal precautions.

Confidentiality/Rights

Grievance and Appeals Process

Provider is aware of where to direct Medicaid consumer with grievance and appeals process as appropriate.

Recipient Rights Advisor

There is a Recipient Rights advisor designated.

Recipient Rights Committee

There is a Recipient Rights advisory committee.

Consumer Eligibility

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Medicaid Applications

Program ensures Medicaid applications are completed for all persons.

Coordination with Others

Crisis Service Coordination

There is evidence of crisis service coordination where appropriate.

Discharge Planning Coordination

The discharge planning shows evidence of coordination with case management, PHCP, and/or other county resources and an appointment is scheduled within 30 days with appropriate party.

Primary Healthcare Coordination

There is evidence of primary health care coordination as appropriate (PHCP). Health Care Coordination Notice is completed per SCCMHA Policy and Primary Care Physician is notified of Psychiatric Hospitalizations, change of class of medication, and adverse reactions to medications as well as abnormal laboratory tests.

Documentation & Records

Documents Complete

Documents are complete and are signed by the appropriate parties (assessments, progress notes, discharge documents).

Entitlements

Entitlements are obtained, and 3rd party reimbursements sought (Medicaid).

Pre-Audit Review

Audit Findings Other

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

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)

Licensure/Accreditations

Gather Proper Licensing and accreditation documentations, ensure they are all current and Provider Specific and provider is in good standing. CARF, specialized residential licensing. (Review Contract File)

Recipient Rights Corrective Action

Any Recipient Rights Corrective Action plans have been implemented. (Contact Recipient Rights/Customer Service Supervisor)

Program Specific

Children's Inpatient Family Involvement

The family is involved throughout the stay.

Children's Inpatient Program Qualifications

Program is under the direction of a Board Eligible/Certified Child Psychiatrist.

Cooperation

Evidence of collaboration with others providing services.

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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
Licensure for Inpatient	Licensure is posted or available on site (DCIS for MH required, CSAS for SA optional).
Post Hospitalization	Post hospitalization services are promoted/arranged as appropriate.
Refusal Rate	Refusal rate and related rationales are reasonable.
Response to Admissions Timely	Provider response timely to SCCMHA on admissions.
Supervision by Psychiatrist	A designated and board eligible/certified psychiatrist (MD or DO) supervises the program unit.
Supervision of Staff	There is regularly scheduled supervision of staff on the job by qualified supervisory personnel.
<u>Recipient Rights</u>	
ORR-Adequate Action Notice	There is a copy of Adequate Action Notice to appeal the Person/Family Centered Plan in the consumer record.
ORR-Consent to Treatment	There is a copy of the Informed Consent to Treatment in consumer records. (This may be a part of the universal acknowledgement form)
ORR-Recipient Rights Notification	There is evidence in the chart that consumers have been notified of rights. Upon start of service and periodically during the time services are provided to the recipient. SCCMHA has defined periodically to be annually.
Recipient Rights Reporting	There is evidence of rights reporting by staff as appropriate.
<u>Staff Qualifications</u>	
Staff Qualifications	Staff are qualified and meet requirements for multidisciplinary inpatient milieu (MD, RN, MSW, COTA, MA, LLP, etc.) Necessary licenses are current.

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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.
<u>Customer Service/Consumer Input</u>	
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).
<u>Documentation & Records</u>	
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.)
<u>Health & Safety</u>	
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 were 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.