

Audit Checklist

Licensed Residential Modified

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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.

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.

Chart Review

ORR-Consumer Fund Sheets

Consumer Fund sheets are kept up to date and available in the home. Consumers have immediate access to their personal money if they choose. How do consumers have access to money after hours? Access to funds is given to consumers as written and addressed in PCP (Provider adheres to their role as specified in the PCP) Personal funds are documented and provider takes necessary steps to prevent mishandling.

Competencies

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.

Services Documented

Services are provided appropriately and documented.

Staff Supervision

There is proper supervision of staff by trained personnel. No un-trained staff provides care to consumers without supervision. (check Staff schedules against progress notes etc.)

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

Consumer Satisfaction

Consumer satisfaction is sought and action is taken to promote consumer satisfaction.

Dignity and Respect

Consumers are treated with dignity and respect

Documentation & Records

Licensing Reports Submitted to SCCMHA

Providers routinely provide copies of licensings reports and citations to SCCMHA, including corrective action plans. For homes in which all consumers funded by SCCMHA, provider expected to consult with SCCMHA prior to submitting corrective action response.

ORR-Guardianship Papers

Guardianship papers are in the file and match stated consumer status.

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Staff Ratios	Staffing ratios shall be sufficient to implement individual plans of service. - Provider has staff ratios per provider application and follows the agreed upon level in application/ Provider contract and per the Specialized Residential funds request given to Adm. Assist. Clinical Director. Check staff schedules for at least 6 months or start of Specialized Residential contract. Provider to show proof that what they are providing is consistent with Specialized Residential funds request.
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.
<u>Health & Safety</u>	
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).
Infection Control Plan	There is an infection control plan in place to address infection control. Policy and Procedure to address infection control issues.
<u>PCP</u>	
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 Personal Care	Consumer Plan specifies personal care services needed by consumer and is reviewed and approved at least once per year.
PCP Scope	Amount, duration, scope of services are supported by PCP (What services, how often, and how long).
<u>Physical Plant/Health & Safety</u>	
Fire Drills	Fire drills must be performed once per quarter per shift with at least one of the drills being during sleeping hours. (Check fire drill logs)
<u>Pre-Audit Review</u>	
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.)

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Compliance Notices	Do they exist and if so what were responses. (Review Contract file)
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)
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.
E-Scores	E-Scores are current, on file, and copy has been submitted to SCCMHA. (Review E-Scores Report from DB)
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)
Licenses Expired	Verify that there are no expired licenses/certifications. (Review Expirations Report from DB)
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)
Person Centered Plan	PCP received from Case Manager/Supports Coordinator for all consumers on Random Sample Report for further review when onsite. Each consumer can have a different Case Mgr. Find Case Mgr in Harmony. (Contact Case Manager/Supports Coordinator)
Quality of Life and Advocacy Reports from S.A.I.D.	Quality of Life and Advocacy Reports from S.A.I.D. (Check Contract files or Previous Annual Audit file)
Recipient Rights Corrective Action	Any Recipient Rights Corrective Action plans have been implemented. (Contact Recipient Rights/Customer Service Supervisor)
Training for New Employees	Verify that any new employees have been added as a trainee to SCCMHA DB to verify/track required trainings. Review Training Records Report from DB.
<u>Program Specific</u>	
Advanced Directives	Staff are aware of any advanced directives of consumers living in the facility. Provider has a procedure for determining if consumer has an advanced directive and a method of informing staff what to do because the consumer has an advanced directive.
Healthcare Appraisals	Provider will ensure Consumers have healthcare appraisals completed within 90 days prior to move to a facility and annually after move in. Appraisals include review of current symptoms, eval of bodily systems, vision/hearing screenings, lab wk, etc

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Licensing Report and Survey	Licensing report and most recent survey are on file at the site and any issues are addressed. Check internet michigan.gov website for last survey.
Licensure for Program	Licensure is posted on site and available for public inspection. (Indicates Specialized Certification for Type A and Type B Residential Homes)
Medical/Dental Logs and Documentation	Health/dental status of consumer is monitored ensuring scheduled medical, dental, and clinical appts are made in a timely manner, that the consumer attends appts and that resulting reports, Rx, Evals, etc. are secured and implemented. Various appointments are kept (medical, dental, psychiatric, etc.). When missed, they are documented appropriately.
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.
Nutrition & Dietary	Providers will follow and utilize SCCMHA's Dietary Guidelines. Menus are written and posted at least one week in advance and kept for one calendar year. Routine cleaning schedule is maintained to ensure cleanliness. Foods are monitored for expiration dates and are disposed of properly. Staff participates in family style meals w/ consumer.
Personal Care	Each recipient's personal care, daily living, and hygiene needs are met including eating/feeding, toileting, bathing, grooming, dressing, ambulation, and assistance with self-administered medications and are documented in appropriate logs. Provider is completing daily personal care logs for each consumer.
Personal Care Items	Basic supply of personal care items are provided by licensee to the consumer, such as: shampoo, toothpaste, and deodorant.
Staff Described Plan	Staff is able to describe each plan for consumer--dietary needs, restrictions, etc.
Training for PCP	Qualified staff are trained regarding all aspects of specific consumer's PCP, examples: proper administration of medications, additional physical interventions, transfers, injections, management of feeding tubes, therapeutic positioning, and suctioning.
<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.
<u>Recipient Rights</u>	
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-Facility Initiates Contact with CM/SC When Appropriate	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-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-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-Recipient Rights Annual Training	Staff have had approved Recipient Rights Training within the last year.
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.
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.
ORR-Telephone Access	Consumers have access to a telephone to use at reasonable times. Telephone use/restrictions are posted in a conspicuous area.
ORR-Use of Restraint or seclusion	From interviews with staff, Lead worker and consumers, consumers are not restrained, held down, or placed in seclusion.
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.
<u>Records/Policies</u>	
Medication Certification	All staff passing consumer medications have been certified by a staff member that has been certified by a SCCMHA Nurse.
<u>Service Related</u>	
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.