

# *Audit Checklist*

## *ORR Inpatient Site Visit*

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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.

#### **Competencies**

PCP Training

Staff have had annual Person Centered Planning Training.

#### **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.

#### **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).

#### **Psychiatrist**

Medication Consent

There is evidence of psychotropic medication consent in the file. The informed consents are updated yearly.

#### **Recipient Rights**

Appeals Committee Summary Report

The Appeals Committee Summary Report indicates consumer's right to appeal the Appeals Committee.

CMH-ORR

Copies of complaint investigation documents for CMH recipients (i.e. Report of Investigative Findings, Summary of Reports) as required by CMH policy or contract were sent to CMH ORR

Complaint Log

The recipient Rights complaint log is present. All complaints are logged.

Complaints Investigated

Required categories of complaints investigated and other categories resolved by intervention.

Disciplinary Action

Disciplinary action was taken and documented for substantiated Abuse/Neglect, or harassment/retaliation for rights activity.

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Documentation of Physical Management	Documentation indicates that physical management, if needed was used appropriately.
Incident Report Review	The Hospital Recipient Rights Advisor is part of the Incident Report review process.
Investigative Findings	The report of Investigative Findings contain code required elements.
Letters to Complainant	There are acknowledgement letters sent to the complainant within 5 business days of receipt of complaint.
Limitations to Freedom of Movement	Limitations to freedom of movement, personal property, communication, or other rights are documented in IPOS, approved by physician, time limited, and implemented within guidelines for Person Centered Planning Process.
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"
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-Hospital	Hospital has established an Office of Recipient Rights
ORR-Hospital Rights Advisor	The Recipient Rights advisor does not provide nor supervise the provision of direct services to consumers.
ORR-Hospital Rights Advisor Supervisor	The Rights Advisor reports directly to the Hospital Director or their designee. The designee has the authority to protect ORR and ensure remedial action for violations. (Indicate the Name and Title in comments section)
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-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.

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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-Rights Advisor Training	The Recipient Rights Advisor and alternates have attended DCH-ORR Basic skills curricula and developing Effective Rights training (DERT) within 3 months of hire.
ORR-Site Visits to Unit	There is evidence through documentation that the Recipient Rights Advisor visits the unit with a frequency necessary to assure Rights protection.
ORR-Status Reports	Status reports are issued timely at 30 and 60 days. Status reports contain code required elements.
ORR-Telephone Access	Consumers have access to a telephone to use at reasonable times. Telephone use/restrictions are posted in a conspicuous area.
PCP Development	IPOS developed in a timely manner and evidences PCP process. Documentation indicates that services were delivered in a timely manner as agreed upon in IPOS.
Property Exclusions	Property exclusions are posted in a conspicuous area of the unit.
Recipient Rights Advisory Committee Minutes	There are at least 2 years of Recipient Rights Advisory Committee Meeting Minutes available with documentation of membership.
Recipient Rights Advisory Committee Review	Hospital Recipient Rights Advisory Committee reviews funding for rights office.
Recipient Rights Appeals Committee	The Hospital uses the CMH Recipient Rights Appeals Committee for appeals from CMH consumers. (Evidenced on Summary Report and in policy).
Remedial Action Taken	Remedial action was taken and documented for other substantiated violations.
Rights Booklet at Time of Admission	Consumer received Recipient Rights Booklet at time of admission.
Summary of MHC Sections 748 and 748A	Record included summary of MHC sections 748 and 748A.
Summary Reports	Summary Report issued within 10 business days of issuance of Report of Investigative Findings. Summary Report contains code-required elements.
Visiting Hours Posted	Visiting hours are posted in a conspicuous area of the unit.

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## **Records/Policies**

ORR-Rights Advisor Alternate

Recipient Rights Advisor has an alternate designated by written policy or procedure.

Recipient Rights Advisory Committee

Hospital has Recipient Rights Advisory Committee with composition compliant with Chapter 7A (i.e. 1/3 consumers- of which 1/2 are primary consumers).