

Audit Checklist

Skill Building/Supported Employment

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Consumer Quality of Life

Consumer Choice Involvement

Consumers are actively engaged and supported by program staff and members in the activities and tasks that they have chosen.

Documentation & Records

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.

Pre-Audit Review

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

Compliance Notices

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

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)

Program Specific

Incident Report in-home record

Incident reports are completed as needed and a copy is filed within the site, separate from the consumer's record. Incident reports are to be filed within 24-48 hours of the occurrence.

Recipient Rights

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.

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.

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Center-based skill building only	Activities for Daily Living (ADL) services increase and/or maintain daily living skills.
Challenging Paid work or activities	The activities or paid work is challenging.
Community Resources	The provider has contacts with businesses, churches, human service agencies, civic groups and other community organizations to facilitate the development of employment and community skill building opportunities and placement of individuals in jobs in surrounding county and potentially surrounding areas.
Employment Related Resources	The provider is familiar with employment related resources, including the Michigan Department of Career Development-Michigan Rehabilitation Services and Department of Education programs.
Federal and State Requirements	The provider will be familiar with Federal and State requirements governing employment, deviated wage related regulations, and labor laws.
Follow Up Services for Work placement	There is communication with consumer and employer, possibly retraining, readjustment to work setting or intervention related to workplace social skills.
Schedule	A predetermined schedule is set up, typically in group modalities.
Skill Development	The provider will have the skills necessary to develop, implement, monitor and document employment related goals for individual customers.
Sufficient Paid work or activities	The activities or paid work is sufficient.
Training for Consumers	Job training includes job tasks, job coaching, adjustment to work setting, job independence, vocational endurance, increase production rate workplace social skills, and regular communication with employers.
Training for SEP	Job training includes job tasks, job coaching, adjustment to work setting, job independence, vocational endurance, increase production rate, workplace social skills, and regular communication with employers.
Variety of Paid work is offered	There is a variety of paid work offered beyond janitorial and fast food in the community.

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.
<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 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.