SAGINAW COUNTY
COMMUNITY MENTAL
HEALTH AUTHORITY

Audit Checklist w/ Refs
Audit Name: Supported Employment

Chart Review

Assessment Complete	Assessment is complete and documented for other disciplines (OT, PT, Speech, Psychologist, Dietician, Supported Employment Specialist). Assessment justifies the need for services an how these services will assist the consumer in reaching desired goals or outcomes.	SCCMHA Provider Manual: Performance Expectations for Enhanced Health Care Providers #5, #7; Medicaid Ch. III, Section 3.2
Assessment Timely	Assessment/reassessment for other disciplines (PT, OT, Speech, Psychologist, Dietician, Supported Employment Specialist) is timely and meets standards.	SCCMHA Provider Manual: Performance Expectations for Enhanced Health Care Providers #5
Authorized Assessment	When authorized, assures that assessment is completed in a timely manner.	Medicaid Ch. III, section 2.1; SCCMHA Provider Manual: Performance Guidelines for Enhanced Health Care Services #5, #7; Guidelines for Nursing Services
Consumer Employment	If a consumer is employed this information is noted in the consumer demographics in the consumer chart.	MDCH Performance Indicators
Coordination with SC/CM	There is evidence of coordination with SC/CM on open cases.	Medicaid Manual, Mental Health and Substance Abuse, Section 2.1; SCCMHA Provider Manual: Performance Guidelines for Enhanced Health Care Providers #4
Individualized Job Search	Employment Specialists make employer contacts aimed at making a good job match based on consumer's preferences (relating to what each person enjoys and their personal goals) and needs (including experience, ability, symptomatology, health, etc.) rather than the job market (i.e., those jobs that are readily available). An individualized job search plan is developed and updated with information from the vocational assessment/profile form and new job/educational experiences.	Supported Employment Fidelity Scale.
Progress Notes Match	The progress notes of other disciplines (PT, OT, Speech, Psychologist, Dietician, therapist, supported employment specialists, etc.) match scope, intensity and duration as defined in plan.	Medicaid Manual, Mental Health and Substance Abuse
Services Documented	Services are provided appropriately and documented.	Dept of Mental Health Admin Rules pg 6 R330.1053; Medicaid Manual, General Information for Providers; SCCMHA Provider Manual Residential Services Policy 03.02.07; Provider Participation Agreement
Services Provided to Scope	Services are provided and monitored according to the scope, duration, and intensity identified in the PCP.	MDCH PHP Review Protocols B.9.3.1 and B.14.3.1
Signatures	Appropriate signatures and titles are evident on file documents. (Consumer/guardian, SC/CM/Therapist and supervisor signed plan. Supervisor signed assessment.)	Medicaid Manual, General Information for Providers, Recordkeeping

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Supported Employment Documentation	The documentation in the consumer charts by the Supported Employment Specialists is reflective of the phases of employment service, including intake, engagement, assessment, job placement, job coaching, and follow-along supports before step down to less intensive employment support from another mental health practicioner.	Best Practice for Documentation
Supported Employment Specialists are Vocational Generalists	Supported Employment Specialists carries out all phases of employment service, including intake, engagement, assessment, job placement, job coaching, and follow-along supports before step down to less intensive employment support from another mental health practitioner.	Supported Employment Fidelity Scale.
Supported Employment Specialists Services	Supported Employment Specialists staff provide only employment services.	Supported Employment Fidelity Scale.
Work based Vocational Assessment	An initial vocational assessment occurs over 2-3 sessions and is updated with information from work experiences in competitive jobs. A vocational profile for that includes information about preferences, experiences, skills, current adjustment, strengths, personal contacts, etc., is updated with each new job experience.	Supported Employment Fidelity Scale

Documentation

Consumer Satisfaction	Consumer satisfaction is sought and action is taken to promote consumer satisfaction.	SCCMHA Provider Manual, Policy 05.06.01 Network Management & Development.
Disposal of consumer PHI	Provider has a provision for disposal of consumer Protected Health Information (PHI) that will render the documents unreadable, indecipherable, and otherwise cannot be reconstructed. Cross Cut shredders are ideal but the shredding should be between 7/16 and 1/32 of an inch.	Health Information Technology for Economic and Clinical Health (HITECH) Act. HIPAA Compliance Policies. SCCMHA Contract.
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.	SCCMHA Auditing Procedure.
Quality Improvement	Provider has specific initiated or given goals/measures.	SCCMHA Provider Manual, Quality Assessment & Performance Improvement, 04.01.01, Page 1; DCH/CMH Contract Section 6.7.1
Quality Improvement/Program Evaluation	Provider has a system to identify problems and a plan of correction is in place.	SCCMHA Provider Manual; DCH/CMH Contract Section 6.7.1. MDCH Application for Participation.
Repeat Citations	Provider has evidence that previous citations have been corrected from the last annual audit.	SCCMHA Auditing Procedure.
Supported Employment Caseload Size	Supported Employment Specialists have individual employment caseloads. The Maximum caseload for any full-time employment specialist is 20 or fewer consumers.	Supported Employment Fidelity Scale.
Supported Employment Specialist Supervisor	The Supported Employment unit is led by a supported employment team leader. Employment specialists' skills are developed and improved through outcome-based supervision. All five key roles of the employment supervisor are present.	Supported Employment Fidelity Scale.

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Supported Employment Specialists Collaborate	The Supported Employment Specialists and Vocational Rehabilitation counselors have frequent contact for the purpose of discussing shared clients and identifying potential referrals.	Supported Employment Fidelity Scale.
Supported Employment Specialists Team Member Contact	The Supported Employment Specialists actively participate in weekly mental health treatment team meetings (not replaced by administrative meetings) that discuss individual clients and their employment goals with shared decision-making. Employment specialist's office is in close proximity to (or shared with) their mental health treatment team members. Documentation of mental health treatment and employment services is integrated in a single client chart. Employment specialists help the team think about employment for people who haven't yet been referred to supported employment services.	Supported Employment Fidelity Scale.
Supported Employment Vocational Unit	At least 2 full-time employment specialists and a team leader comprise the employment unit. They have weekly client-based group supervision following the supported employment model in which strategies are identified and job leads are shared. They provide coverage for each other's caseload when needed.	Supported Employment Fidelity Scale.

Facility/Program Observation

Supported Employment Postings	There are displays of written postings (e.g., brochures, bulletin boards, posters) about employment and supported employment services.	Supported Employment Fidelity Scale.

Policies and Procedures

Code of Conduct	Provider has a code of conduct for staff. This code of conduct includes standards of work conduct regarding being under the influence of illegal drugs or alcohol.	MDHHS(previously MDCH) App for Participation page 42; 2.10 ; SCCMHA Policy 05.06.03 Competency Requirements for the SCCMHA Provider Network.
Competency Policy: Orientation Training	Provider has human resource procedures that address SCCMHA competencies for Orientation/training.	SCCMHA Provider Manual, Competency Requirements for the SCCMHA Provider Network 05.06.03; SCCMHA Provider Manual Residential Services Policy 03.02.07
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.	Medicaid Manual, Admin Record Keeping; SCCMHA Provider Manual Competency Requirements for the SCCMHA Provider Network 05.06.03
Pre Hire Screening	Provider completes a pre hire screening which includes, background check, driving record check, recipient rights check, reference checks, and any health screening that is required prior employment. Provider also includes a pre-employment declaration regarding being under the influence of illegal drugs or alcohol.	SCCMHA Provider Manual, Competency Requirements for the SCCMHA Provider Network 05.06.03

Pre-Audit Review

Training Records	Minimum training standard for service type is met based upon SCCMHA Training Grid (Review Training Grid Report from DB)	SCCMHA Provider Manual, Competency Requirements for the SCCMHA Provider Network 05.06.03

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Staff File Review

Credentialing of Professionals	Each employer, including SCCMHA, will verify credentials of position applicants, including proper licensure if required. Checks must include information about any sanctions against Medicaid and Medicare which would exclude billing under these payers. SCCMHA and other provider network organizations must retain current proof of credentials and licensure on file, as well as appropriate historical file information for services billed. Credentialing and re-credentialing are conducted and documented for the following health care professionals: Physicians (MDs or DOs), physician assistants, psychologists (licensed, limited license, or temporary license), social workers (licensed master's, licensed bachelor's, limited license, or registered social service technicians), licenses professional counselors, nurse practitioners, registered nurses, or licensed practical nurses, occupational therapists or occupational therapist assistants, physical therapists or physical therapist assistants, speech pathologists.	HSAG Audit Requirements; SCCMHA Policy 05.06.03 Competency Requirements for the SCCMHA Provider Network; SCCMHA Policy 09.04.03.01 Network Providers Background Verification & Credentialing Procedure & Plan
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, any Mental Illness, Developmental Disabilities, and Substance Abuse trainings etc. completed.	MDCH PIHP Site Review Report 2004; SCCMHA Provider Manual, Competency Requirements for the SCCMHA Provider Network 05.06.03;
Training Minimum Standards	Minimum training standard for service type is met based upon SCCMHA Training Grid and is documented in staff file. Looking for 95% compliance overall with training for persons that have been employed over 60 days. (Refer to Pre-Audit review)	Medicaid Manual, General Info. Pg. 3; SCCMHA Provider Manual, Competency Requirements Policy 05.06.03; Specialized Certification Rules for AFC R330.1806(2)(a-b)