

Audit Checklist w/ Refs

Audit Name: MPRI

Chart Review

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| CFJ-140's | All direct services provided for an offender require the submission of a CFJ-140 (Offender Referral Form). Services performed in "support" of service category work do not require the submission of a CFJ-140. However, for all categories that do not require a CFJ-140 to support work performed, the site is expected to have some form of documentation to support the hours worked and what was completed during the recorded hours. | MDOC, Offender Reentry Service Parameters. |
| Expenses are within the Scope of MPRI contract | The items that are paid are consistent with the MPRI Contract. | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |
| Medication Effectiveness | Through review of parolee/ participant records there is evidence the medication orders were filled and the person is taking the medications as prescribed. Evidence of this would be through authorizations through HDI. | Prisoner Reentry Health Policy coming soon. |
| Mentoring and Support | Through mentoring, staff will provide case management (in person or by phone) through monthly contacts with the mentor, mentee and/or caregiver. Case manager will document information about mentor/mentee contacts which will include frequency and dates of mentor/mentee contacts as well as accurate dates for completion of a mentor/mentee relationship and the reasoning for the completion. The mentor shall include one or more of the following: Life Coaching, Improving social skills and accepting authority, Group and individual activities targeted at creating intentional relationships and impacting intrinsic motivation. | MDOC, Offender Reentry Service Parameters; SCCMHA Contract. |
| Monitoring of Parolee | The Community Resource Specialist has at least one monthly contact with parolee per month. There is at least one quarterly contact with employers of parolees, and customer satisfaction surveys are completed as scheduled. | Community Resource Specialist Job Description. |
| Reimbursement for Mentoring Services | Mentoring services are reimbursed based on the milestone criteria set forth in the contract. | SCCMHA Contract |

Documentation

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| Base Housing/Rents | All residential services have landlord tenant agreements, hotel/motel options and congregate housing with daily/weekly/monthly rate. The rents include utility costs and a working refrigerator and stove (not required in hotel/motel arrangements). The parolees have basic supplies needed to support daily living, basic cookware and utensils, cleaning items and linens. | MDOC, Offender Reentry Service Parameters. |
| Community Resource Specialists | Community Resource Specialists will submit daily job task reports on a biweekly basis. This is to verify services billed to Michigan Department of Corrections. | SCCMHA Contract |
| Documentation Matches Billing | The amount billed to SCCMHA from provider has appropriate documentation to support the billings and the figures add up to the correct total. | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |

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| Employment Readiness parolees served TWE, TOE, OJT | There is proof of contractors working towards and meeting the projected number of parolees served in the area of temporary work experience, try-out employment and on the job training as noted in the SCCMHA contract. | SCCMHA Contract |
| Evidence Based Practices | The provider has proof of evidence based practices used by their program to assist parolees in their transition. (provider is able to tell auditor what evidence based practices they are using). | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |
| Gender Responsive Strategies | How is the provider addressing the issue of gender responsive strategies for returning female offenders. (i.e. female specific services and programming). | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |
| Housing Quality Standards | An inspection is completed Quarterly of all housing where the Prisoner Reentry funds are supporting the placement. Any areas of concern are put into writing to the landlords and a timeframe given to have repairs completed. Follow up is then completed to assure the repairs have been completed by the landlord. | MISHDA Housing Standards |
| Job Readiness | There is proof of number of parolees who were served in the area of Job Readiness. This area includes developing a resume, developing a cover letter, how to network, job search techniques, job applications, what employers expect, appropriate work habits and behaviors, preparing for an interview, mock interviews, thank-you letters and follow-up, and how to maintain employment. | Prisoner Reentry Financial Guide September 2011. |
| Job Search/ Development | There is proof of number of parolees who were served in the area of job search or development. There are notes indicating monitoring of job search activity, helping to develop job leads and referrals. | Prisoner Reentry Financial Guide September 2011. |
| List of staff | Provider has a list of staff with names, contact numbers and his/her role | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |
| Medications | The community resource specialists have a method of assuring costs of medications do not exceed the \$900.00 cap per participant and any excess has prior approval by the MDOC Area Manager. | Prisoner Reentry Financial Guide September 2011. |
| Monitoring of Participant Caps | There is evidence of monitoring of participant caps for areas of Housing, Employment, Medications, Social Supports, Operations Support, Health and Behavioral Health. | Prisoner Reentry Cost and Service Parameters |
| Parolee Satisfaction or Feedback | The provider has proof of parolee satisfaction or feedback about services rendered. | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |
| Payments for Parolees | The payments made match the list of parolees served by the contract. | Agreement Between The State of Michigan, Department of Corrections and Saginaw County Community Mental Health Authority. |

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| Persons Living Together | All Prisoner Re-entry Housing Vendors to ensure no more than 3 unrelated persons reside at any one Prisoner Re-entry location at any given day that are funded by the PR program to be in compliance. Evidence from the city. | Prisoner Reentry Financial Guide September 2011. |
| Repeat Citations | Provider has evidence that previous citations have been corrected from the last annual audit. | SCCMHA Auditing Procedure. |
| Timeliness of Billing | All expenses should be submitted on a monthly basis. All expenses accrued should be submitted the following month for payment. This includes subcontractors billings. Late expenses may be denied. | Prisoner Reentry Financial Guide September 2011. |
| Timeliness of Documentation and Reporting | Assure that required documents, records and reports are completed and submitted as required in a timely and accurate manner. | Community Resource Specialist Job Description. |
| Vocational Assessments | There is proof of number of parolees who were served in the area of vocational assessments. The assessments may include testing with ACT WorkKeys or other tests such as Tests for Adult Basic Education, various career interest inventories, which include hours of skill preparation and basic skills training using KeyTrain or other preparatory software or instruction. | Prisoner Reentry Financial Guide September 2011. |
| <u>Facility/Program Observation</u> | | |
| Record Retention | Programs are housing records in a safe, secure location for records that are not currently active or in use. Auditors will be looking at how records are stored at the facility or program. If stored in another location how the provider can assure the documents are safe and secure. | Health Information Technology for Economic and Clinical Health (HITECH) Act. SCCMHA HIPAA Compliance Policies. |
| <u>Pre-Audit Review</u> | | |
| Customer Feedback | Auditor has contacted various service providers/subcontractors to gain knowledge about how the vendors are doing as well as how interactions have been with the community resource specialists. | NO REFERENCE IN SYSTEM |
| Customer Feedback Parole Agents | Auditor has contacted various parole agents to gain knowledge about interactions with the community resource specialists. | NO REFERENCE IN SYSTEM |
| Provider Vendor Information | Provider has appropriate information on their vendors as outlined in the contract with SCCMHA. This information has also been forwarded to SCCMHA, Contracts and Properties Manager. | SCCMHA Contact with Michigan Department of Corrections. |

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Staff File Review

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| Cognitive Behavioral Programming | Provider must have proof of a structured approach. Documentation needs to include what offenders are supposed to learn and what is supposed to change. Success tracking to demonstrated proficiency. Needs to identify theoretical basis for identified activities which should involve one or more of the the following: Cognitive Restructuring, Problem Solving, Social Skills Development, Moral Development. | MDOC Offender Reentry Service Parameters. |
| Cognitive Behavioral Staff Training | Staff have appropriate training to administer the approved Cognitive Behavioral Programming based on the needs identified in the assessment of the parolee needs. | MDOC, Offender Reentry Service Parameters. |
| Lein Checks | All Subcontractors and Vendors had Lein checks or background checks completed. | SCCMHA contract. |
| Proof of Training for staff | The provider has proof of training for staff working with parolees. | NO REFERENCE IN SYSTEM |
| Staff Have Appropriate Credentials | Staff have appropriate credentials to provide mental health services according to codes performed. As noted in state and local laws for providing therapy which requires a Master's prepared clinician or any of the other licenses noted in the mental health code for Mental Health Professional. | State and Local Laws, MDOC Offender Reentry Service Parameters. |