

Audit Checklist w/ Refs

Audit Name: Self Determination

Chart Review

Document Accessibility	The provider will have access to items pertinent to providing care such as copy of service support plan, behavior treatment plan, health and safety sheet for the protection of the consumer receiving care.	SCCMHA Provider Manual Residential Services Policy 03.02.07; Guidelines for Respite; SCCMHA Self Determination Policy
Home Help and Expanded Home Help Through DHS	Home Help or Expanded Home Help (assistance in the individual's own, unlicensed home with meal preparation, laundry, routine household care and maintenance, activities of daily living and shopping). If such assistance appears to be needed, the beneficiary must request Home Help and if necessary, Expanded Home Help from the Department of Human Services (DHS). The PIHP case Manager or supports coordinator must assist him/her in requesting Home Help or in filling out. Consumer plan reflects the amount of Home Help assistance is approved through DHS.	Medicaid Provider Manual 17.3.B. Community Living Supports
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
Training for PCP	Qualified staff are trained regarding all aspects of specific consumer's person centered plan, examples: proper administration of medications, additional physical interventions, transfers, injections, management of feeding tubes, therapeutic positioning, and suctioning, special dietary needs, diabetes, etc.	SCCMHA Provider Manual, SCCMHA Self Determination Policy

Documentation

Advances	Any SCCMHA advances are cost settled or refunded upon consumer Fiscal Intermediary Service discontinuation.	Provider Participation Agreement
Budget Management	This is a process in place to assure consumers do not go over budget.	MDCH Medicaid Manual, Mental Health/Substance Abuse 17.3.0 Fiscal Intermediary Services.
Claims/Service Activity Logs	Claims/Service Activity Logs (services provided) match services in the plan.	Medicaid Manual, Recordkeeping
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.
Expense Summary Report	Provider has submitted a monthly expense summary report for funds dispursed during the calendar month to the SCCMHA no later than 15 days after month end.	Provider Participation Agreement
Home Help Money	Provider has proof of collection Department of Human Services (DHS) Home Help money and Social Security Income (SSI).	Provider Participation Agreement, SCCMHA Policy 02.03.04 Self Determination Policy
Payroll Register	Provider submits copy of payroll register to SCCMHA for each consumer upon request.	Provider Participation Agreement

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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.
Repeat Citations	Provider has evidence that previous citations have been corrected from the last annual audit.	SCCMHA Auditing Procedure.
Spend Down	Provider reports services timely to SCCMHA Primary Record Holder (Case Manager/Support Coordinator) to meet consumer's spend down.	Provider Participation Agreement
Taxes	Provider has payroll tax information available. Tax information matches the requirements set forth by State and Federal Government.	Provider Participation Agreement
W-2's	Fiscal Intermediary provides W-2's to all staff on payroll.	MDCH Medicaid Manual, Mental Health/Substance Abuse 17.3.0 Fiscal Intermediary Services; Provider Participation Agreement
 <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>PCP Review</u>		
PCP Scope	Amount, duration, scope of services are supported by PCP (What services, how often, and how long).	SCCMHA Provider Manual; Consumerism Best Practice Guideline; Medicaid Manual, Mental Health and Substance Abuse 1.6 and 13.3
 <u>Pre-Audit Review</u>		
Audit Findings--previous year	Auditor will review audit findings from past year and make sure these areas are reviewed during current audit review.	SCCMHA Provider Manual, Policy 05.06.01
Contracts	Provider has current contract with SCCMHA, or is in process of renewing contract. (Review Expirations Report from DB)	SCCMHA Provider Manual, Policy 02.02.06
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. Provider should make sure SCCMHA training database is up to date. A copy of the current trainings in the SCCMHA database is attached to your audit notice.	SCCMHA Provider Policy Manual
	(deleted because new training database does not allow you to add new employees until they have training)	

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Staff File Review

42 CFR 431.107 Agreement	Provider has signed 42 CFR 431.107 Agreement signed by the Self Determination Coordinator and the Individuals/ Provider Agency that is provides services to the consumer.	Self Determination Agreement
Criminal Background Checks	Provider has proof of criminal background check of each employee. These criminal background checks are completed prior to hire and annually there after. If there are any negative findings the consumer is made aware of the negative findings.	Provider Participation Agreement
DHS Central Registry Checks	All persons working with children of SCCMHA services will have a background check that includes DHS Central Registry for any substantiated abuse or neglect charges against children.	SCCMHA policy 05.06.03 Competency Requirements for the SCCMHA Provider Network.
Proof of Automobile Insurance Policy	Provider has proof of staff valid automobile insurance policy for staff that transport consumer.	Provider Participation Agreement
Proof of Drivers License	Provider has proof of staff valid drivers license for staff that are transporting consumers.	Provider Participation Agreement, HUB requirements.
Self Determination Training Guide	Provider has proof of each employee receiving the Self Determination Training Guide and there is a signed acknowledgement of such. Competency exams of the guide are kept in staff personnel files as documentation of initial training.	Provider Participation Agreement; Self Determination Training Guide
Staff Hours Worked	Provider will ensure high standards of quality care by assuring no employee/service provider will be paid in excess of 16 hours in one day (Excluding code S5151 overnight respite) nor exceed 60 hours within any seven (7) consecutive calendar days.	Provider Participation Agreement
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)
Training of Staff	The non-professional staff is qualified, by training, to provide mental health services. This includes CPR, First Aid, recipient rights, person centered planning, blood borne pathogens. CPR, recipient rights, person centered planning and blood borne pathogens all need annual renewal.	SCCMHA Training Guide to provide services to consumers living Self Determined lives.