

## Audit Checklist w/ Refs

### Audit Name: Community Living Supports Individual/Respite

**Chart Review**

Appointments	Various appointments are kept (medical, dental, psychiatric, etc.). When missed, they are documented appropriately.	SCCMHA Provider Manual Residential Services Policy 03.02.07
Consumer Health	The promotion of consumer health is evident. Provider ensures that any medical concerns or issues are addressed or monitored.	SCCMHA Provider Manual, Policy, 03.02.01; PIHP Review Protocols E.3. and E.3.1.
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
Management of Consumer Funds	Access to funds is given to consumers as written and addressed in PCP. (Provider adheres to their role as specified in the PCP).	SCCMHA Provider Manual, Policy 02.02.25 Recipient Rights Personal Property and Funds; Provider Participation Agreement, Page 8, Item 4.0, Compensation, Type A Spec. Res. Pg 1; Licensing sm. Group Rules R400.14 315 page 19 & 20; Licensing lg. Group Rules R400.15 315 page 15.
Medication Administration	There is evidence that physician-prescribed oral medication, injection, or topical medication treatment is administered to a client. Medications are labeled as to what the medication is and when it should be given, with a label from the pharmacy. Topical and Oral medications are separated. There is an appropriate, documented procedure for staff disposal of any and all discontinued or unused out of date medications. This should include documented witness that signs along with person who is disposing of the medications. If there are controlled substances being administered the facility has a method of keeping track of these medications and are using two staff from different shifts to assist with counting. Staff are aware of how to dispose of medications.	Medicaid Ch. III, Covered Svcs; Licensing sm. Group Rules R400.14 316 & 312 page 21 & 18; Licensing lg. Group Rules R400.15 314 page 14 & 15; SCCMHA Policy 03.02.17 Medication Management in Licensed Residential Settings
Recipient Rights Reporting	There is evidence of rights reporting by staff as appropriate.	SCCMHA Provider Manual Tab 8 - Summary of Abuse and Neglect Reporting Requirements; MHC (P.A 258) MCL 330.1776; SCCMHA Policy 02.02.10 Recipient Rights Reporting Unusual or Unexpected Incidents
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

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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
 <b><u>Consumers</u></b>		
Meal Preparation Assistance	Assistance to the consumer is provided in shopping, meal preparation, and cooking. If applicable	Medicaid Manual, Mental Health and Substance Abuse
 <b><u>Documentation</u></b>		
Activities and Recreation	Consumers are offered frequent opportunities for home and community activities and recreation. Activities should encourage social interaction, further growth through first hand experiences, social graces, and productive utilization of leisure time. Activities are age appropriate, dignified, and community integrated. There is an activity calendar for planned activities.	SCCMHA Provider Manual, Type A, Page 5; Licensing sm. Group Rules R400.14 317 page 22; Licensing Large Group Rules R400.15 317 page 16
Case Manager Contact	There is evidence the Case Manager is overseeing implementation of the individual plan of service including supporting the beneficiary's dreams, goals, and desires for optimizing independence; promoting recovery; assisting in the development and maintenance of natural supports.	Medicaid Provider Manual Section 13; SCCMHA Provider Manual Residential Services Policy 03.02.07
Coordination of Supports	There is evidence of communication between the direct care staff and other staff (if applicable), direct care staff and parent/guardian/SC/CM	Medicaid Manual, General Information
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.
Emergency Procedures	Provider has emergency procedures that are reviewed with new employees and annually and proof that these procedures are followed by staff. The telephone number for poison control center is readily available to staff or consumers. Procedures should include: Bomb Threat, Power Outage, Tornados, Fire, Missing persons, Water Shortage, how to deal with a threat from a consumer, etc. (For residential, there is provision for evacuation and alternate housing if needed for a few hours or if needed for overnight or longer, with a written agreement with hotel/motel.)	SCCMHA Provider Manual, BHRMC Policy, Page 3, Licensing Rules R400.14318 Licensing sm. Group; R400.15318 Licensing lg. Group; R4001438 Licensing Family Home
Liability Provisions	There are provisions in place for insuring against a range of liabilities.	Medicaid Manual, General Information
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.

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Recipient Rights and Background Checks	Staff and contractors will have a recipient rights background check along with criminal background checks as part of their contract with SCCMHA.	SCCMHA Competency Policy
Repeat Citations	Provider has evidence that previous citations have been corrected from the last annual audit.	SCCMHA Auditing Procedure.
<b><u>Facility/Program Observation</u></b>		
Assistance to Consumers	Consumers are offered assistance as requested or indicated.	SCCMHA Provider Manual Policy 02.01.01 Accommodations
Dietary needs	The provider monitors the availability of food for the consumer to have nutritious meals daily.	SCCMHA Provider Manual Residential Services Policy 03.02.07
Dignity and Respect	Consumers are treated with dignity and respect	Mental Health Code 330.1708(4);SCCMHA Provider Manual, RR Contract Requirements, RR Policies and Procedures, 06.02.06.00; Licensing Sm. Group rules R400.14 303&305; Licensing Lg. Group rules R400.15 303&305
Environmental Hazards	The provider monitors and/or address environmental hazards within the consumer's residence. ( example: broken windows, leaky roof, chemicals, toxic materials, sharps, etc)	SCCMHA Provider Manual Residential Services Policy 03.02.07
Interior	The interior is maintained, including furnishings being safe, clean, and usable and in good repair.	SCCMHA Provider Manual, Housing Best Practice Guideline, Exhibit, Page 3; Licensing sm. Group Rules R400.14 403 page 24; Licensing lg. Group Rules R400.15 403 page 18; SCCMHA Out of Home Respite Guidelines, Page 5
Personal Care Items Available	Basic supply of personal care items are available to the consumer, such as: bath soap, shampoo, toothpaste, deodorant and other items needed to complete consumer personal care.	SCCMHA Provider Manual Residential Services
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.
<b><u>Home Manager Questions</u></b>		
Health and Wellness	Provider is supporting the health and wellness of consumers. Menus support the food pyramid with five fruits and vegetables per day. Exercise is discussed and promoted as part of the consumer daily or weekly routine.	SCCMHA Health and Wellness and Michigan Health and Wellness initiative.
<b><u>PCP Review</u></b>		
PCP Current	The PCP is current, signed, on file, modified when indicated, and used by staff (PCP should be renewed at minimum of 1 time a year--done as needed which means addendums are completed when significant changes occur in consumer life, consumer needs more or less supports, consumer has attained goals).	Department of Mental Health Admin Rules R330.1276; Mental Health Code 330.1712(1); Medicaid Manual, General Information;
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

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**Pre-Audit Review**

Audit Findings Other	There are plans of correction from Contract Compliance. (Review Contract file)	SCCMHA Provider Participation Agreement
Case Managers/Supports Coordinator Communications	Verify through letters, correspondence, meeting minutes, review logs, surveys to supervisors/chairpersons, etc. (Contact Case Manager/Supports Coordinator for issues, comments, etc.)	NO REFERENCE IN SYSTEM
Consumer Participation in Audit	A consumer must be involved in at least one audit per category of audits.	SCCMHA Consumerism Policy 02.03.01 and Inclusion Policy 02.03.02
Consumer questionnaires	There are items that need follow up or discussion with provider from the Consumer questionnaires. There are items that are positives that the consumers had to say about the provider.	NO REFERENCE IN SYSTEM
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
Eligibility	Consumers are eligible to receive services from SCCMHA. (Medicaid is in effect or other CMH coverage--MI Child, Subsidy, Children's Waiver-- is in place)	CMH/MDCH Contract Section 1.2, SCCMHA Provider Manual 03.01.01
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.	SCCMHA Auditing Procedure
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.	SCCMHA Auditing Procedure
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)	SCCMHA Provider Manual, Type A & B Specialized Residential, Incident Reporting
Recipient Rights Corrective Action	Any Recipient Rights Corrective Action plan was needed and when you go to the site make sure the corrective action plan has been implemented. (Check the current audit file and previous audit file for any ORR site visit information and review for need for plan of correction).	Policy Standard I
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

**Staff File Review**

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.
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Provider Vehicles	If transportation is provided or required there must be proof of valid driver's license, appropriate auto insurance coverage(100/300) and a reliable and safe means of transportation	SCCMHA Provider Manual Residential Services Policy 03.02.07
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)
<b><u>Staff Questions</u></b>		
Availability	Providers should be available within reason to provide services on demand. They must be available on weekends, holidays and summer vacation periods to meet consumer needs for services.	SCCMHA Provider Manual Residential Services Policy 03.02.07
Policy Awareness	The provider is familiar with the Provider manual and has proof of receiving the Providers manual.	SCCMHA contract with provider
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.	Medicaid Manual, General Information; Licensing sm. Group Rules R400.14 201 & 204 page 6&7; Licensing lg. Group Rules R400.15 201 & 204 page 4&5