Alabama Medicaid Operating Agency ADH Audit Tool Tool Instructions

Overview: This tool will be used by ADSS to assess Adult Day Health Centers (ADHs) for the Elderly and Disabled (ED) and Alabama Community Transition (ACT) waivers. Materials used for this audit include: policies and procedures, personnel files, training documentation, and client files

Report Table of Contents							
Worksheet	Description						
Scoring	Summarizes audit results						
Administrative	Administrative audit for ADH Center						
Personnel	Personnel audit for ADH Center						
Client File	Client file audit for ADH Center						
Operational	Operational audit for ADH Center						

Audit Tool Categories

#: Unique number for each entry

Audit Question: Audit requirement or standard that is reviewed

Guidelines: Additional information or instructions to support the auditors review. For example, this field should be used to clarify the audit requirement or how the reviewer should complete his or her review

Finding: Result of the audit. Options include:

Met: The audit requirement is met based on the information provided

Not Met: The audit requirement was not met based on the Agency's expectations and criteria. Examples that would justify a "not met" include: missing policies and procedures, missing personnel documentation, missing or invalid licensures, missing client file forms and reports

N/A: Not applicable. This can be used if the requirement pertains to a particular service or waiver.

Comments or observations added by the reviewer to justify the finding

Instructions

Pre-Audit Steps for Announced Audits (Note: For initial certifications, client files will not be audited)

Mail or email the ADH and schedule the visit.

- 2. Explain the process to the ADH, including what is needed for the audit and the time frame (months) to be audited. (The minimum time frame to be audited shall consist of three months).
- 3. Mail and/or email a letter stating the date of the visit and other information regarding the audit, including a form on which the ADH is to list all Waiver clients served during the audit period; or, the ADH has the option of printing a list of Waiver clients that were served during the period to be audited.
- . The ADH must have this completed client list available for review and an audit sample will be chosen from this list by the auditor, not the ADH.
- 5. The ADH is instructed to have billing available for the auditor for the time frame being reviewed.

Files to Audit:

The file review will consist of the following number of files:

- 1. For employee files, audit a minimum of five (5) unless, there are fewer than 5 employees, then audit all. The audit is to include all RN supervisors. As part of the audit, all new hires (hired since last audit and currently visiting clients) shall be included. These count as part of the five (5) or fewer.

 2. For client files, audit a minimum of ten (10) unless, there are fewer than 10 clients, then audit all. If the ADH has more than one hundred (100) clients, a 10% audit shall be conducted
- 3. A client file needs to have a full 3 months of information in it before conducting a review. Less than 3 months of client file data may not provide enough information to determine the file status.

Expanded Audit:

The amount of audited records may/should be expanded based upon the number of major deficiencies noted during the audit. If the auditor determines that there is a significant amount and/or type of finding(s), a one hundred percent (100%) review of the records is justified.

The ADH must be given an opportunity to produce missing documentation during the time while the auditor is present at the ADH office. The ADH will not have additional opportunity to correct deficiencies found during an announced visit, as ample time was provided for the ADH to prepare. Examples of such deficiencies are, but not limited to, misplaced personnel paperwork, missing supervisory visits, etc. Depending on the findings during an unannounced audit, the ADH shall be provided no more than twenty-four (24) hours, or the end of the next business day, to provide the auditor any missing documentation discovered during the audit.

Exit Conference:

The auditor will discuss the preliminary findings with the ADH during the exit conference along with any recommendations made by the auditing entity. Depending on the nature of any discrepancies found and the seriousness of those findings, the auditor can make recommendations for corrections. The auditing entity shall provide the ADH a detailed/bulleted copy of the findings via letter; however, copies of the audit tools are not to be provided to the ADH (This item is not conducted at the time of the exit conference - a preliminary discussion of findings are provided to the ADH. ADSS reviews and approves the audit prior to a final list being given to the ADH). The auditing entity will issue guidance on the steps to be taken by the ADH to resolve identified issues (Final instructions are provided in the ADSS "approved" letter, however, usually general guidance will be provided at the audit. Depending upon the finding, the auditing entity has the option to go ahead and complete retraining on the audit finding and/or perform a review of scopes of services at the time of the exit conference.). On an announced audit, the ADH must have all pertinent staff present during the exit conference including the office manager, supervisory nurse and local administrator. Absences of the required staff from the exit conference could result in termination of the AAA's contract.

Audit Scoring:

The OA must pass all four components of the audit. Each component must pass the following scoring thresholds: 90% of critical requirements met, 80% of non critical requirements met, and 100% of mandatory

IOTE: Every element of the audit tool must receive a score, even if the finding is "N/A". Comments should also be provided for every audit question, including if the finding is "N/A", to support the

Scoring Worksheet

Purpose

High-level dashboard that provides an aggregate score across all of the audit tools.

Instructions

he scoring worksheet will auto-populate based on the audit results; however, if additional columns are added to any of the audit tools, the formulas in columns B and D of the scoring worksheet should be updated to reflect the additional column

Administrative Worksheet

Purpos

To assess the ADH's administrative staff and functions

Frequency

Completed annually for each ADH.

Instructions

For each file reviewed, complete the audit questions by selecting findings (Met, Not Met, N/A) from the drop down menu and provide comments.

Personnel File Worksheet

Purpose

To assess staff's files, including licensure and training

requency

Completed annually for each ADH.

Instructions

For each file reviewed, complete the audit questions by selecting findings (Met, Not Met, N/A) from the drop down menu. Provide comments if needed. For the training requirement portion of this tab, staff files should be reviewed for training documentation, and the ADH should provide any requested training materials.

Client File Worksheet

To assess services and ensure clients needs are being met

Completed annually for each ADH.

Instructions

For each file reviewed, complete the audit questions by selecting findings (Met, Not Met, N/A) from the drop down menu and provide comments.

Operational Tab

Purpose

To assess facility adequacy

Frequency ...

Annually

Instructions

For each file reviewed, complete the audit questions by selecting findings (Met, Not Met, N/A) from the drop down menu and provide comments. NOTE: Comments must document the nature of the evidence the auditor relied upon to make each determination. If documentation is reviewed, the auditor must provide a description preferably by title and date. For interviews and observations, the names of individuals interviewed and/or observed must also be recorded.

Alabama Medicaid Agency		
Adult Day Health Center Audit Tool - Cove	r Page	
Instructions:	Input data for each shaded field	
Direct Service Prov	ider Information	Reviewer Information
Name of Adult Day Health Center:		Name:
Name of Director:		Agency:
Point of Contact:		Phone:
Type of Certification:		Audit Date:
Phone:		Fiscal Year:
Location of Audit:		
No. of Staff During Hours of Operation		
(exclude director, and staff that only does		
office work, cleans, drivers or cooks):		
Operating Hours:		
Number of Holidays:		
Number Clients Certified to Serve:		
Number Clients Enrolled:		
Number Medicaid Waiver Enrolled:		
Number ED Clients:		
Number ACT Clients:		

Alabama Medicaid Agency Adult Day Health Audit Tool - Audit Results

NOTE TO AUDITOR REGARDING MANUAL UPDATES TO THIS WORKSHEET: If additional columns are added to any of the audit tools, the formulas in columns B and D should be updated to reflect the additional columns.

Audit Results					
	Available Points		Audit Scor	'e	
	Total # of	Score to	Raw Score	Raw Score %	Pass / Fai
Worksheet	Requirements (1)	Pass (2)	(Requirements Met) (3)	(4)	(5)
Administrative	0		0	0	Pass
Critical	0	90%	0	0	NA
Non Critical	0	80%	0	0	NA
Mandatory	0	100%	0	0	NA
Personnel File	0		0	0	Pass
Critical	0	90%	0	0	NA
Non Critical	0	80%	0	0	NA
Mandatory	0	100%	0	0	NA
Client File	0		0	0	Pass
Critical	0	90%	0	0	NA
Non Critical	0	80%	0	0	NA
Mandatory	0	100%	0	0	NA
Operational	0		0	0	Pass
	0	90%	0	0	NA
Non Critical	0	80%	0	0	NA
Mandatory	0	100%	0	0	NA

#	Audit Question	Requirement	Guidelines	Finding	Comments
	Confirm the following elements are provided:				
	Is the ADH Center located in a setting that is neither institutional or presumed institutional as defined under the HCBS Settings Final Rule CMS 2249-F/2296-F?	Mandatory	Refer to CMS document entitled Exploratory Questions to Assist States in Assessment of Non-Residential HCBS Settings. Excluded institutional settings include nursing facilities, institutions for mental disease, intermediate care facilities for individuals with intellectual disabilities, and hospitals. In the Comments column, describe program location and confirm it is not any of the institutional settings referenced above. Presumed institutional settings include those in a publicly or privately-owned facility that provides inpatient treatment; on the grounds of, or immediately adjacent to, a public institution; or that have the effect of isolating individuals receiving Medicaid-funded HCBS from the broader community of individuals not receiving Medicaid-funded HCBS. Before determining that this question is Met or Not Met, complete the Client File and Operational Tabs. In order for a setting to be determined to be not "presumed institutional," it cannot be isolating in nature. For this question to be considered Met, all of the following questions must also be scored as Met: Under the Client File Tab, question 27; under the Operational Tab, questions 6-12; 35; 41, and, 43; and under the Personnel Tab, questions 22 c, g and h; 24 c, g and h. In the Comments column, confirm that all of the relevant questions were Met.		
1					
2	The ADH maintains approval from ADSS indicating that the center meets all Adult Day Health Standards as specified in the waiver document; services are delivered consistent with the Plan of Care; and client needs are met?	Critical	The Adult Day Health Provider must maintain an Adult Day Health approval issued from ADSS, which must be current within one year. (ADSS issues approval for only those Adult Day Health centers that participate in the Elderly and Disabled Waiver and ACT Waiver programs.) Approval depends upon compliance with the Adult Day Care Standards and the Adult Day Health Service requirements in the approved Elderly and Disabled Waiver and ACT Waiver document. In the Comments column, provide the date of the AAA approval memo from the previous audit.		
	The ADH provider has designated an individual to serve as the	Mandatory	Verify through staff interviews and documentation. In the Comments		
3	agency administrator?		column, list the name of the individual designated to serve as the agency administrator.		
	The ADH agency has key staff, to include the agency	Critical	Verify through staff interviews. In the Comments column, list the key		
4	administrator or ADH supervisor, present during this compliance audit?		staff, by position and name, present during the compliance audit.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
5	The ADH Provider has at least one person trained to act on behalf of the Adult Day Health Director in his or her absence?	Critical	Verify through staff interviews and documentation. In the Comments column, identify the person(s) trained to act on behalf of the Adult Day Health Director in his or her absence by name and the documentation reviewed, including the date, to show training occurred.		
6	The ADH provider has an organizational chart showing chain of command, including the administrative control and lines of authority for the delegation of responsibility down to the "hands-on" client care level staff, and it is accessible to the staff?	Critical	A copy of this information shall be forwarded to the Operating Agency and AAA at the time the contract is implemented. Any future revisions or modifications shall be distributed to all ADH staff and to the Operating Agency. In the Comments column, list the effective date of the organizational chart reviewed and the name of the individual interviewed to confirm it accurately represented the administrative control and lines of authority for the delegation of responsibilities. Also describe how the chart is made accessible to staff.		
7	If there was a change in administrator, address or phone number, were the Operating Agency and AAA notified?	Critical	The Adult Day Health Provider shall notify the AAA and Operating Agency within three (3) working days in the event of a change in the agency administrator, address, or phone number. In the Comments column, confirm the date any relevant change occurred and the date the ADH program made the appropriate notifications. If this is N/A, state no changes occurred.		
8	The ADH provider has a written policy on infection control procedures and an ongoing infection control program in place?	Mandatory	Verify through policy review and staff interviews. The ADH program must have a written policy on infection control procedures that describes procedures for, and requires staff implementation of, universal precautions, consistent with CDC and/or Alabama Department of Public Health guidelines and staff should be able to describe the current activities that support its ongoing infection control program. In the Comments column, cite the name and/or number of the policy and the names of staff interviewed to confirm their knowledge/adherence to the policy.		
9	The ADH provider has a written policy concerning client/patient confidentiality (HIPAA)?	Mandatory	Verify through policy review and staff interviews. The ADH program must have a written policy concerning client/patient confidentiality that describes procedures for client confidentiality, consistent with HIPAA regulations, and requires staff implementation. In the Comments column, cite the name and/or number of the policy and the names of staff interviewed to confirm their knowledge/adherence to the policy.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
10	The ADH provider has a written client complaint and grievance policy and procedure?	Critical	Verify through policy review and staff interviews. The ADH program must have a written policy that describes procedures that include ensuring client and family notification of the complaint and grievance process, investigation, follow-up and corrective action procedures (including appropriate staff discipline), notifications to the case manager and others, as applicable, and maintenance of records. In the Comments column, cite the name and/or number of the policy and the names of staff interviewed to confirm their knowledge/adherence to the policy.		
	The ADH has a written policy on handling fire evacuations?	Critical	Verify through policy review and staff interviews. In the Comments column, cite the name and/or number of the policy and the names of staff interviewed to confirm their knowledge/adherence to the policy.		
	Does the ADH provider have incorporated in the procedures for the operation of the center, adequate safeguards to protect the health and safety of the clients in the event of a medical, fire, or other emergency, including natural disasters?	Critical	Verify through review of procedures and staff interviews. In the Comments column, cite the name and/or number of the policy and the names of staff interviewed to confirm their knowledge/adherence to the policy. The ADH provider must have a written plan that identifies the specific actions to be taken for each type of potential emergency, including at least the following: medical emergencies, fires, weather emergencies (e.g., ice storms, tornadoes, flooding, extreme temperatures, etc.), and other situations that might impact participants' health and safety (e.g., utility disruptions, shelter-in-place orders, etc.). The plans must show that the ADH provider has identified the resources and actions that will be needed to meet the participants' health and safety needs, including but not limited to: building evacuation plans, and identification of emergency medical resources (e.g., name and contact information for ambulance service), plans for early closures, etc.)		
12					

#	Audit Question	Requirement	Guidelines	Finding	Comments
13	Does the ADH provider conduct and document monthly fire and weather drills? (Documentation of drills shall include date, time, duration, number of clients participating, number of staff participating and name of staff conducting the drill). (Effective May 1, 2008).	Critical	Verify through document review and both staff and client interviews. In the Comments column, list the documents reviewed, including the dates, to show that fire and weather drills were completed at least monthly during the period covered by this review. Confirm that the documentation included all the required criteria. If there were any months during the review period during which the ADH did not conduct the required drills and/or the documentation did not include the required criteria , this must be scored as Not Met.		
14	Is the ADH in-service training pre-approved by the Operating Agency?	Mandatory	Verify through document review and staff interviews. In the Comments column, confirm review of the documentation, cite the date of ADSS approval and confirm that it accurately reflects the initial and annual inservice training listed under the Personnel tab. Additional training may be provided as deemed necessary by the DSP. Any self-study training programs must be approved for content and credit hours by the Operating Agency, prior to the planned training. The DSP shall submit proposed program(s) to the Operating Agency at least 45 days prior to the planned implementation. In the Comments column, cite any additional training noted and confirm timeliness of submission and OA approval.		
15	Does the ADH maintain adequate staff for the number of clients served in the center (1-10 clients – 1 staff member; 11-25 clients- 2 staff members; 26- 35 clients – 3 staff members; 36-43 clients – 4 staff members; for each additional 8 clients there should be one additional staff member)?	Critical	Verify through staff schedule and on-site observation. Staffing numbers must be in addition to the Director. In the Comments column, cite the document(s) reviewed, including dates, and confirm that the staffing during the on-site review was consistent with the specified requirements.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
16	The ADH Provider has a registered nurse (RN) or licensed practical nurse (LPN) available two hours per week or eight hours per month for consultation?	Mandatory	Verify through staff schedule and log for the period covered by this audit. In the Comments column, confirm that the a registered nurse (RN) or license practical nurse (LPN) has been available monthly for the required number of hours for consultation. Cite the name of the individual(s) providing the service and the number of hours per month. If there are any months during the period in which nursing consultation was not available for the minimum number of hours, this must be scored as Not Met.		
	If the ADH assists or administers any medications to any client/patient, medications are administered by a nurse (RN/LPN)?	Mandatory	Verify through staff interviews and review of medication administration policy and medication administration record (MAR) that the ADH assists or administers medications for individuals who require medication during program hours. The record must include the name, dose and route of the medication, the date and time it was administered and the name and title of the nurse that administered the medication. (Medications can be administered by a Registered Nurse (RN) or Licensed Practical Nurse (LPN) who is currently licensed by the Alabama State Board of Nursing to practice nursing. Medications cannot be administered by any other staff member at the ADH center. However, the other staff member can remind a client to take medication when necessary.) In the Comments column, list the individuals reviewed for whom the ADH assists or administers medications and the dates of MARs reviewed for each. List the names of staff interviewed. Review a minimum of six months of MARs. If there are any months during the period in which any of the criteria was missing, this must be scored as Not Met.		
17					
18	If the ADH assists or administers any medications to any client/patient, medications are filled by a pharmacy and have physician's instructions written on the label?	Mandatory	Verify through staff interviews and review of medication administration policy. (Medications must be filled by a pharmacy with physician instructions written on the label. The written instructions on the container are considered a physician order.) In the Comments column, list the clients for whom the ADH is currently assisting or administering medications and verify observing that, for each applicable medication, the medication was filled by a pharmacy and the label included written physician's instructions. All applicable medications must meet these criteria for this question to be scored as Met. List the staff interviewed.		
	The ADH maintains all administrative and supervisory functions of the center and does not delegate them to another agency or organization.		Verify through staff interviews. In the Comments column, list the names of staff interviewed.		

#	Audit Question	Requirement		Finding	Comments
20	A governing body or designated persons-maintains full legal authority for the operation of the Adult Day Health center, and a list of the members of that body is available to the Operating Agency, AAAs and AMA upon request?	Critical	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.		
21	The ADH maintains an operating budget that is available to AMA, AAAs and the Operating Agency upon request?	Mandatory	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.		
22	Does the ADH provide transportation for the ADH clients/patients?	Critical	Transportation between the participants place of residence and the adult day health center will be provided as a component part of Adult Day Health Service. In the Comments column, describe the evidence reviewed that confirms the ADH program provides transportation or refer to item #82 under the Operational tab.		
	The ADH has current liability insurance which also covers volunteers and board members from liability incurred while acting on behalf of the ADH?	Mandatory	Verify through document review. General liability insurance coverage shall be maintained on the operations of the facilities in a minimum amount of five hundred thousand dollars (\$500,000) per occurrence and five hundred thousand dollars (\$500,000) for general aggregate coverage. In the Comments column, cite the documentation reviewed and verify that it is currently in effect, with no lapses during the period covered by this review. List the effective dates.		
23					

Alab	Alabama Medicaid Agency Adult Day Health Center Audit Tool - Personnel File		Name of Staff Member:	Jeanette W	Staff Member 1	Jean Snod	Staff Member 2 grass	Debra Rich	Staff Member 3 burg		Staff Member 4		Staff Member 5
			Job Title of Staff Member: Hire Date of Staff Member:		Director/Owner NA		Assistant Director/Caregiver 2/11/2020		Caregiver 5/10/2021				
			Date of First Client Contact:	NA	NA .	2/11/2020 NA		NA S/10/1021					
	Audit Question Confirm the following elements are provided:	Requirement	Guidelines										
Ε.	Each employee's job description is present in the Cr	Critical	Provide the name of the job description reviewed in the										
1	employee's file (should identify responsibilities, education and experience)?		Comments column.										test
	Each employee's and volunteer's personnel file contains documentation that references were verified	Critical	Provide the date of documentation in the Comments column for each staff member.										
2	and includes contact information for references?												
Н	Each employee and volunteer has proof that statewide M	Mandatory	Provide the date of documentation in the Comments										
	criminal background checks are documented in the employee's personnel file and are prior to hire?		column for each staff member.										
3													
\vdash	Each employee and volunteer has proof that national M	Mandatory	Provide the date of documentation in the Comments										
	sex offender checks are documented in the employee's personnel file and are prior to hire?	,	column for each staff member.										
4	personner me and are prior to inter												
	Staff members and all personnel, including volunteers, M	Mandatory	Provide the date of documentation in the Comments										
5	with access to client information have proof that nurse aid registry checks are documented in the employee's		column for each staff member, including the Director, nursing staff, and adult day health workers, if applicable.										
	personnel file and are prior to hire?												
H		Mandatory	Provide the date of documentation in the Comments										
	with access to client information have proof that previous employers and references are verified and		column for each staff member, including the Director, nursing staff, and adult day health workers.										
	documented in the employee's personnel file and are prior to hire?												
-		Mandatory	Verify through document review. Alabama HCBS walvers										
	documentation that he/she submits to a program for	······································	require all new employees of Direct Service Providers										
	the testing, prevention, and control of tuberculosis? Effective for employees hired as of 12/1/2019, did the		(DSPs) to have a baseline Tuberculosis (TB) screening for Latent TB Infection (LTBI) and TB Disease. In the										
7	employee receive a TB test training/education prior to client contact? List their initial training date.		Comments column, provide the date of documentation for each staff member, including the Director, nursing										
	and the control of th		staff, and adult day health workers.										
	annual training/education? Provide dates of last two	Mandatory	The auditor is required to look for certificate or projected dates. As of 2020, please note that new staff will receive										
	trainings/education and/or projected dates.		an initial training/education certificate but may not have										
١.			an annual training/education date). Annual TB education is required and must be documented. TB education										
8			materials must be approved by the Operating Agency. In the Comments column, provide the date(s) of										
			documentation for each staff member, including the										
			Director, nursing staff, and adult day health workers.										
	Each employee's personnel file contains an application of for employment?	Critical	Verify through document review. In the Comments column, provide the date(s) of documentation for each										
9	io employment		staff member, including the Director, nursing staff, and										
	Each employee's personnel file contains a record of Cr	Critical	adult day health workers. Verify through document review. In the Comments										
10			column, provide the date(s) of documentation for each staff member, including the Director, nursing staff, and										
L	Staff member's personnel file contains evaluations per Cr	Salara	adult day health workers Verify through review of personnel file and agency										
	agency policy?	riocal	policy. In the Comments column, provide the date(s) of										
11			documentation for each staff member, including the Director, nursing staff, and adult day health workers.										
-	Staff member's and volunteer's personnel file contains Co	'ritical	Verify through document review. In the Comments										
12	a copy of a valid government-issued picture		column, provide the type and date of documentation for										
12	identification?		each staff member, including the Director, nursing staff, and adult day health workers.										
	Staff member or volunteer has a valid Alabama driver's Cr	Critical	Verify through document review. In the Comments										
	license (if transporting Adult Day Health clients)?		column, provide the date of documentation for each applicable staff member.										
13													
\vdash	Each employee's file contains ADH provider's Co	Critical	Verify through document review. In the Comments										
14	verification of ability to read and write?		column, provide the date of documentation for each										
H	Each employee is able to following the Plan of Care		applicable staff member. Before determining that this question is Met or Not Met,										
	with minimal supervision?		complete the Operational Tab. For this question to be considered Met, 100% of the mandatory requirements										
15			and 90% of the critical requirements of Items 33-45 of										
			the Operational tab should be met.										
Н	Each employee file contains other forms including W-4,	Critical	Verify through document review. In the Comments										
16			column, for each staff member, including the Director, nursing staff, and adult day health workers, provide the										
	including agreements regarding confidentiality?		date of documentation for each required document.										
	Two staff members are CPR and first aid certified?	Mandatory	Verify certification through personnel files. In the										
			Comments column, for each applicable staff member, list the documents reviewed and the effective dates										
17			reflecting current certification.										
		Critical	Verify through document review and both staff and										
	records of all complaints/incidents lodged by the client/family against the staff member and action taken,		client interview. 1. Has the client/family issued previous complaints										
	including investigations, as implemented and documented by the ADH Director?		against the employee? If so, what were they and when did they occur? Were any actions taken to resolve them?										
	ay the April Directors		2. Has the client/family reported or been involved in any										
			incidents with the employee? If so, what were they and when did they occur? Were any actions taken to resolve										
18			them? 3. Did the ADH Director conduct an investigation?										
			In the Comments column, list the document(s) reviewed										
			and the names of staff and clients interviewed. Cite complaints/incidents lodged by the client/family against										
			the staff member and any action taken. If no complaints/incident occurred, state that no										
			complaints/incidents occurred.										
_	1		1						1		1		1

Alabama Medicaid Agency		Staff Member 1		Staff Member 2 Staff Men		Staff Member 3	lember 3 Staff Member 4		Staff Member 5				
	It Day Health Center Audit Tool - Personnel File		Name of Staff Member:	Jeanette Wa	ters	Jean Snods	grass .	Debra Richb	ourg		Stall Melliber 4		Stall Melliber 5
			Job Title of Staff Member: Hire Date of Staff Member:		Director/Owner NA		Assistant Director/Caregiver 2/11/2020		Caregiver 5/10/2021				
	Audit Question	Requirement	Date of First Client Contact: Guidelines	NA Finding	Comments	NA Finding	Comments	NA Finding	Comments	Finding	Comments	Finding	Comments
Г	RN/LPN has current Alabama State Board of Nursing license?	Mandatory	Verify through document review. In the Comments column, provide the date of the required documentation										
19			for each nursing staff and/or nursing consultant.										
1.0													
	experience as a Registered Nurse or Licensed Practical	Non Critical	Verify through document review. In the Comments column, list the document reviewed and the dates of										
20	Nurse?		nursing experience for each nursing staff and/or nursing consultant.										
-		Critical	Verify through document review. Review										
	education (high school diploma or equivalent)?		documentation the Director has completed, including reports, employee evaluations, and investigations and										
			complaints follow-up to confirm ability to communicate effectively, understand written instructions, write basic										
			reports, evaluate ADH employees in terms of their ability to perform assigned duties, communicate with clients, be										
21			responsible for orientation and in-service staff training,										
			and provide appropriate investigation and follow-up for complaints. In the Comments column, list the document										
			reviewed and cite the educational qualifications indicated. If Not Met, describe any deficiencies.										
Train	ning Requirements												
Initio	ning Requirements of Orientation Training		le garage de la companya de la compa						ı				
	Each employee meets orientation training requirements prior to service delivery?	Mandatory	Verify through document review and staff interviews. Minimum 6 hours annual in-service training must be in										
	Note: The auditor should mark "Met" or "Not Met"		the areas listed below and include topic, name and title of trainer, objective of training, date of training, outline										
22	based on the checklist findings below. If one checklist requirement is "Not Met", then this row should be		of content, length of training, list of trainees and location (These must include infection control updates as well as										
	marked as "Not Met".		abuse, neglect, and exploitation. A four (4) hour annual										
			limit for self-study i.e. videos/online is in effect.)										
	Behavioral interventions, acceptance, and accommodation;		Verify through document review and staff interviews. At a minimum, the training provides an overview of the										
			common behaviors that participants may exhibit, based on their diagnoses and needs; an overview of positive										
			supportive techniques the program uses to prevent negative behaviors from occurring and/or to de-escalate										
a			those behaviors; instructs staff on what to do if										
			behaviors escalate and appear to present a danger to the person or to others, and provides a description of how										
			staff competency is assessed. In the Comments column, list the document(s) reviewed and the names of staff										
			interviewed.										
	Providing care and supervision including individual		Verify through document review and staff interviews. At										
	safety and non-medical care;		a minimum, the training provides staff instructions for providing care and supervision, including, but not limited										
			to, the following: Observing and assisting participants to maintain good										
			personal hygiene on a daily basis, as needed; Observing the status of the individual's health that includes support										
			in carrying out physician orders as needed; monitoring of										
			vital signs as needed; observing the functional level of the client and noting any changes in the physical										
			condition of each individual; observing for possible reactions to medications: teaching positive health										
ь			measures and encouraging self-care; appropriately reporting to the administrator or supervisor any changes										
			in the client's condition.; Observing and assisting the										
			client with meals and eating, including opportunities to discuss healthy foods, food preparation and good										
			nutrition and eating habits; Assisting in the development of self-care, personal hygiene, and social support										
			services; and provides a description of how staff competency is assessed In the Comments column, list										
			the document(s) reviewed and the names of staff										
			interviewed.										
\vdash	Abuse, neglect, mistreatment, and exploitation,		Verify through document review and staff interviews. At										
	including how to report allegations		a minimum the training: defines each of the terms (abuse, neglect, mistreatment and exploitation) and										
			provides appropriate examples, with an expectation that										
			staff can recognize the signs of abuse, neglect, mistreatment and exploitation; states a clear expectation										
			that abuse, neglect, mistreatment and exploitation are not tolerated; states a clear expectation that staff must										
			act immediately to prevent any witnessed abuse, neglect, mistreatment and exploitation and ensure the										
c			participant is protected; provides an overview of the										
			Alabama Protective Services Act and describes the mandated reporter role of caregivers; provides										
			information about how to report abuse, neglect, mistreatment and exploitation to the Department of										
			Human Resources; and provides a description of how staff competency is assessed In the Comments column,										
			list the document(s) reviewed and the names of staff										
			interviewed.										
\vdash	First aid in emergency situations;		Verify through document review and staff interviews. At										
			a minimum, the training describes the ADH program's plan for the administration of first aid; provides staff										
			instructions about their role in ensuring participants										
d			receive needed first aid in emergency situations, consistent with the approved policies and procedures;										
			and provides a description of how staff competency is assessed. In the Comments column, list the document(s)										
			reviewed and the names of staff interviewed.										
	Documenting client's participation;		Verify through document review and staff interviews. At										
			a minimum, the training provides an overview of the program's goals, services and activity schedules, including										
			how those are designed to meet the Plan of Care goals for the program participants; provides staff instructions										
			about how to document participation, including, but not limited to the following:										
			1) Where to document participation; 2) How often to										
e			document participation; 3) What needs to be documented; 4) How to provide documentation that										
			addresses an individual participant's Plan of Care goals; 5) As applicable, ensuring that handwritten documentation										
			is legible; 6) Signing and dating documentation. The training and provides a description of how staff										
			competency is assessed. In the Comments column, list										
			the document(s) reviewed and the names of staff interviewed.										

Alabama Medicaid Agency Adult Day Health Center Audit Tool - Personnel File	Name of Staff Member:	Staff Member 1 Jeanette Waters	Staff Member 2 Jean Snodgrass	Staff Member 3 Debra Richburg	Staff Member 4	Staff Member 5
Addit by Treath Center Addit 1001-7 (12011)(11)	Job Title of Staff Member:	Director/Owner	Assistant Director/Caregiver	Caregiver		
	Hire Date of Staff Member:	NA NA	2/11/2020	5/10/2021		
# Audit Question Bender	Date of First Client Contact:	NA Comments	NA Comments	NA Finding Comments	Finding	Finding Comments
Fire and safety measures;	Verify through document review and staff interviews. At a minimum, the training provides staff instructions for fire, weather and other emergencies, considerts with the program's approved policies and procedures for fire safety and emergencies and the building evacuation plan provides staff instructions for participating in, and assisting participants to participate in, fire and weather emergency drifts; and provides a description of how staff.					
Confidentiality;	competency is assessed. In the Comments column, list the documents[] evielwed and the names of staff interviewed. Verify through document review and staff interviews. At a minimum, the training provides an overview of the requirements of HPAA and a Secryition of how staff competency is assessed. In the Comments column, list the documents[] reviewed and the names of staff.					
Client rights, including dignity, autonomy, privacy, respect and freedom from coercion and restraint;	stantowed. verify through document review and staff interviews. As a minimum, the training defines each of the terms: adjust, automorphy privacy, respect and referend from coercion and restraint and provides appropriate sampless, states a clear expectation that none of the right may be abridged; states a clear expectation that staff must report, any shortdepment of any participants' right to the program administrator or supervisor or, air participants' and the staff must report conduction to the program administrator or supervisor or, air participants' and program of the program of the staff must report for reporting, and provides conduct information for reporting.					
Needs of the elderly and disabled population;	and provides a description of how staff competency is assessed. In the Comments colume, list the document(s) reviewed and the names of staff interviewed. Verify through document review and staff interviews. At a minimum, the training includes an overview of the needs of individuals who are aging or have a disability, including, but not limited to the following areas: offentity.					
	oflutrition; offlyicial activity and mobility; officionization; officioniz					
Basic infection control/Universal Standards;	Verify through document review and staff interviews. At a minimum, the training includes a review of universal presentations, consistent with Centers for Disease Control systems, and producting an expensive specific instructions regarding the solid control of the control of t					
Communication skills;	Verify through document review and staff interviews. As a minimum, the training provides a dear espectation that staff will communicate, whethly and convertable, with a staff will communicate, whethly and convertable, with an about 1 the staff of the s					
Other areas of training as appropriate or as mandated	Verity through document review and staff interviews. In the Comments column, list the document(s) reviewed					
by Medicaid and the Operating Agencies. Staff who have had no previous experience or training working with adults that are elethy and disabled have on-site orientation with a designated period of supervised training? Annual Training	and the names of staff interviewed. Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.					
Each employee meets annual in-service training Mandatory requirements	Verify through document review and staff interviews. Minimum 6 hours annual in-service training must be in					
requirements Note: The auditor should mark "Met" or "Not Met" 24 based on the checklist findings below. If one checklist requirement is "Not Met", then this row should be marked as "Not Met".	Minimum is hour's annual in-service training must ce in the arises listed below and include topic, name and title of trainer, objective of training, date of training, outline of content, lingsh of training, list of trainers and location (These must include infection control updates as well as abuse, neglect, and exploitation. A four (4) hour annual limit for self-study i.e. videou/online is in effect.) Minimum criteria are the same as those described in					
Behavioral interventions, acceptance, and accommodation;	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.					
Providing care and supervision including individual safety and non-medical care; Abuse, neglect, mistreatment, and exploitation,	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.					
Abuse, neglect, mistreatment, and exploitation, c including how to report allegations First aid in emergency situations;	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed.					
d Documenting client's participation;	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed. Verify through document review and staff interviews. In					
e Fire and safety measures;	Verify through document review and staff interviews. In the Comments column, list the document(s) reviewed and the names of staff interviewed. Verify through document review and staff interviews. In					
f	the Comments column, list the document(s) reviewed and the names of staff interviewed.					

Alabama Medicaid Agency				Staff Member 1		Staff Member 2	Staff Member 3		Staff Member 4		Staff Member 5	
Adult Day Health Center Audit Tool - Personnel File		Name of Staff Member:	Jeanette Waters		Jean Snodgrass		Debra Richburg					
		Job Title of Staff Member:		Director/Owner		Assistant Director/Caregiver	Caregiver					
		Hire Date of Staff Member:		NA .		2/11/2020		5/10/2021				
		Date of First Client Contact:	NA.		NA		NA.					
# Audit Question												
Confidentiality;												
		Verify through document review and staff interviews. In										
8		the Comments column, list the document(s) reviewed										
		and the names of staff interviewed.										
Client rights, including dignity, autonomy, privacy,												
respect and freedom from coercion and restraint;		Verify through document review and staff interviews. In										
" ·		the Comments column, list the document(s) reviewed										
		and the names of staff interviewed.										
Needs of the elderly and disabled population;												
		Verify through document review and staff interviews. In										
'		the Comments column, list the document(s) reviewed										
		and the names of staff interviewed.										
Basic infection control/Universal Standards;												
		Verify through document review and staff interviews. In										
, ,		the Comments column, list the document(s) reviewed										
		and the names of staff interviewed.										
Communication skills;												
		Verify through document review and staff interviews. In										
K		the Comments column, list the document(s) reviewed										
		and the names of staff interviewed.										
Other areas of training as appropriate or as mandated												
by Medicaid and the Operating Agencies.		Verify through document review and staff interviews. In										
1 1 1		the Comments column, list the document(s) reviewed										
1 1		and the names of staff interviewed										

Allabama Medicald Agency Adult Day Health Center Audit Total - Client File		Patient File 1		Fallent/File 2	Patient Nie 1	Patient File 6	Fallent File S	Patient File 6		Fallent File 7	Patient Nie X	Fallent/File 1		Patient File 10
	Name of Clark. Mathematic Forest Mandage Mandage Forest Mandage Forest Mandage Forest Mandage Mand													
	Period of Styles:													
Confirm the following elements are provided.		Maria Maria		Minim		1000	NAME OF TAXABLE PARTY.	Lane America		N. 1710				
Conflow the Subsect elements are accepted. Nevicks were initiated within-their (I) uniting days. Distoil of the segregated "STEAT CAP" of the Service Auditorization among Persons, 1, 2007 water innereally, I) months Cost, 1, 2007 water innereally, I) months Cost, 1, 2007 within their (I) working days of "neonys of the services Auditorization have")?	Verify through document review. In the Comment column, provide the date of documentation for each applicable staff member.													
(Prior to Ctt. 1, 2007 within three (f) working days of "treespt of the terrores Authorization harm")?														
bervices were not stated prior to the authorized start. Mandatory date on the Service Authorization Pare?	Verifythrough document review, in the Comments column, private the data services were started and the data services were authorised.													
Name and a collection of the authorized real of the dates.	tere actioned.								_					
3 devices were not brilled prior to the authorized start. Mandatory allow on the Service Authorization Form?	Verifythrough document review, in the Comments column, provide the data services were billed and the date services were authorised.													
The file contacts "New" behave Authorization form for any change in number of flows, frequency, times, or type of service?	verify through document review. In the Comments column, confirm the data any charge occurred and the document (i) reviewed. If N/N, case that no charge cis the number of flours, frequency, times, if types of services accurred.													
4 or type of severce?	reviewed. If N(A, state that no changes in the number of four. Sequency, times, of types of services occurred.													
The daily attendance log is reviewed and initialed at Critical inactively two (2) weeks by the ACH center director?	Verifythrough discurrent review. In the Commercis column, find the discurrent(s) reviewed and the signatury.													
If the chert moved any work, all moved writtene documented and sent to the case manager weekly	Verfythraugh daaument review.													
A complete/current copy of the HCES application (to CHS col	Verifythrough document review. In the Comments column, provide the dates of documentation.													
Instant on read or variety persons on our disentification file? The average manufaction of person database conjunction of the person of person database to operate the person of person database to contact is an emergency creation, the client's playcostant's among advanced and plane contact, the client's dispersion of appropriate person of the person	provide the state of state of state of													
The serber maintains information on all clients. Ordinal registering the person (client representative) to contact. It is no extended the person (client representative).	Verifythrough discurrent review. In the Commercis column, ted the discurrent(s) reviewed and the dates of documentation.													
a come, addinate and phone numbers, the client's discount deposits and phone numbers that the client's														
information?														
Information of the first day of names the CORDIC These we evidence as the first day of names the global welfare information in agents of the season of the evidence of the season in agent of the season of the evidence of the season in agent of the season of the agents of the season of the season of the season of the day of the season of the season of the season of the day of the season of the season of the season of the season of the season of the season of the season of the day of the season of the sea	Verifythrough document review, in the Comments column, list the document(s) reviewed and the dates of documentation.													
responsibilities and how to register complaints, and discossed the provisions and supervision of the														
An INITIATION AREA T MINE! An INITIATION SERVICE OF each client's physical, second, Mandatony	Verifythrough document review. In the Comments column, lost the documents(s) reviewed and the dates of documentation.													
and emissional conditions was completed within \$2 days of emplement and documented in the client execution.	tid the discenses(s) reviewed and the date; of documentation.													
A copy of morthly health screening(s) (nursing Mandatory	Verifythrough document review. This screening should		_						_				_	
accessment) scraw compreted that include, but are not limited to checking what cigin, weighing clients if southful to control hands and compression	operation, in the comment culume, but the document(s)													
Analysis of manufacture plants to mensing (1) (1) maning. The part of manufacture plants to manufacture plants of manufacture plant	Verifythough Souwerd erview. This scenaring should include but in not limited to the assessments of the client's obsertable. Note consensus qualities, just the absentance of viewers a lactifie state of insurentation. The light principle state of insurentation. Verifythough sometimed review. The scholless the client participate in should be included in the brief summary, in the commence colors, to the document (viewers) and the commence colors, to the documents (viewers) and the commence colors, to the documents of the commence colors, to the document of the commence colors of the document of the commence colors of the document of the colors of the colors of the													
direct cummanes, evaluations of the effectiveness of the sense as it relates to the Plan of Care, and	participates in should be included in the brief summary, in the Cumments column, list the discurrent(s) reviewed and the													
suggestions relative to the client's needs and preferences for each client, and sends a supplied the	dates of documentation. If all the required 82 day accessments are not available, this should be soured as Not Met.													
completion, as documented in the street/justient/file?														
"														
11														
Clid the Citiz manager respond back to the Atterwithin one (1) working day of the confliction by the Atterand approved any modellication of claims of the control resistance of any modellication of claims of the claims of the Senior Authorization Primit?	The Case Manager will review the Admirequent to modify services and respond within one (i) working day of the resport. The Cost Manager will approve any modification of duties to be performed by the Adult Tay Health Worker and re- tisse the Service Advanceation From accordingly, if he jobs contact with the respect.													
18 improve if any modification of duties through re- issuing the Service Authorization Form?	request, one Case Manager will approve any modification of duties to be performed by the Adult Day Health Morker and re- issue the benefic Authorization from accommod of the ***													
H	concurs with the request													
If the client requires medication administration during hours of attendance, does the client's file contain a second of all medications administered to the client?	Verifythrough document review and nurse intensiew. It the MMX filled out completely and accurately, considered with requirement is term EXT in the Administrative Tab.													
If the client receives medication, du staff observe the direct for possible medication reactions?	Verifythrough document review and staff interview.													
dient for possible medication reactions?	Verifythnogs document review and daff interview. Internate operations choose include: Leak history freggen Manager, how do cost observe for possible recorders, and what actions are taken? Leak cost of the desiret review and existing, do you know what possible reactions is within for and what are they? If you want possible reactions is within for and what are they? If you want to be a support of the processor of the processor.													
	2. Ask STATE of the direct receives medication, do you know													
	one any possible reactions, what are you supposed to du? Acceptable reaconses should indicate that staff are familiar													
29	with the clear's medication, possible reactions, and appropriate steps to take if a reaction occurs, including calling													
	emergency services. Additionally, responses should indicate that call observe for reactions immediately after the direct													
	takes medication and for the duration of the directs day at the AZM.													
	see also possible readment, which are you copposed it is of? Assignable requires clouded adulated health and the absorption in a which the cheer's readments, puscular readment, and appropriated beginn that of a readment control, which also collisions that could read the control of the control of the control of the service possible services. Additionally, responses clouded includes that could mission or admits the mediated applies the disease. As the commence could be admitted to the control of the control of any that the commence could make the control of the control of any the same of collisions and the the control of the control of any the same of collisions and the control of the control of the the same of collisions and control of the control of the the same of collisions.													
If the fire indicates that the check had a change in condition or the Pland Care no longer meets the direct smedit, and the Zhon oblighthe can invarige within one (1) working day of the change his the direct condition?	Verifythrough document review and staff interview. Standew-guestions should include: 1. Do staff observance clients for any change in condition?													
dient's needs, did the ADM notify the case manager within one (1) working day of the change to the	1. Do staff observance-cheets for any change in condition? Now so?													
dient's candition?	How so? 2. Not the client experienced any change in condition that may or may not have reculted in the Plan of Care no longer													
	meeting their needs? 2x If yes, when and how was the case manager outflied? in													
	the Comments column, tod the staff interviewed and steffine that the cheet had a change in condition or the Plan of Care no													
	hade on which the consequence of the change and did not only, but the date that the fire undustrict a change and did not which the consequence was confined of the change.													
	25. If no, soore this as to that and state that the client did not have a change in condition that resulted in the Flan of Care													
The accompany has a thinkey the	not neeting their needs in the Comments column.								_					
If there wis a significant change is the client's blandationy physical, mental, or encotanal health, did the ADM and if the Licer manager is writing, and is this change shoursested in the client file?	Verifythrough document review and daff interview. Interview.guestions chould include: 1. Do daff observe cheeck for agenticant changes in physical, mental, or emotional health? Describe this process.													
dicumented in the cleent fide?	mental, or emotional health? Describe this process. 2. Not the client experienced any significant change in													
	physical, mental, or emotional health infice, please describe what change was noticed as well as when and how the case													
17	transprous notified. In if yet, when and how was the case manager notified? Was the close flowing the common of t													
11	column, list the staff interviewed and confirm that the client had a change in their physical, mental, or emotional health													
	with a brief cummary of the change(s). 28. If no, score this as by a and state that the client did not													
H	new wy prystal, mestal, or encoonal changes in the Comments calumn.													
If the file indicates that the client had a change in status that could proportion their health and othery in the community, were training indefeducation provided to could conhow to identify and address the houtin consense of a client?	verry mough distanced review and darf interview. Interview questions should include:													
were summitted by were training and education provided to ctaff on how to electify and address the health genomes of a clime?	Welflythinigh blockmed neview and daff interview. Methylate questions chould include: 1. Not the climat experienced a change in status that could propose the result of the climate operation of the proposed or the change in the climate in the change in status and their and the climate in the change in status and their and which is all yet, describe the change in status and their and which is for the change in status and their and which is also and their and the													
28	coff were trained to identify and address health concerns, to the Comments column, list the staff interviewed and confirm													
	that the client had a change in status with a binef summary of the change.													
	aw. or me, score this as fight and state that the client did not have a change in status in the Comments salumn.													
If the Azwidentifier additional author that may be beneficial to the client's care, but are not openfied on the Plan of Zare, but the Azwicontact the case manager?	2b. If a, slove this as fight and table that climin date and base a shape is table as the Content to the climin date and been a shape to table as the Content to the climin and table the climin date of the climin date of the climin date of the lower date the Content and the date of the climin date of the lower date the Content and the date of the lower date the climin date of the climin date of the lower date of the climin date of the lower date of the climin date of the climin date of the lower date of the climin date of the lower date of the lower date lower date of the lower date of the lower date lower date of the lower date of the lower date lower date lo													
the Man of Care, did the ADMoontact the case manager?	1. How does the AZH identify if additional duties may be beneficial to the clear's care?													
20	to the cheer's care? In if yet, when and how yet, the consequence confusions.													
	this change documented in the client file his the Comments column, list the staff interviewed and confirm that additional													
	duties were identified that may be beneficial, with a binef cummary of those duties.													
H	us. or ma, score this as fight and state that no additional duties were shestified in the Comments column.													
If the file indicates that the cleent does not appear to need ADM sensor, did the ADM solify the case manager within one (1) working day?	sere stretched in the Comments column. Verifythough Sourment review and daff interview. Interview questions chould include: I. Now does the ADM stretchy if the Chest does not need ADM.													
stanger within one (1) working day?	a new does the AZM sheeting if the client does not need AZM service? 2. Did the AZM sheeting if the great datase seed AZM.													
	Its if yet, when and how was the case manager notified? In the Comments column, list the staff interviewed, date of													
20	which the filecondicates that the chent na longer needs the service, and the date the case manager was notified.													
	28. If no, score this ac fight and state that the file does not indicate that the client no longer needs the AZM service in the													
	Commercia salumini.													
H														
If the file indicates that the chent died or moved out of the considerable, did the Attendedly the case manager within one (1) working day?	Verifythrough document review and doff interview. Interview questions chould include: 1. Now does the ADM identify if the client does not need ADM													
account of a second sele.	Name does the ADM identify if the chest does not need ADM identified Dod the ADM identify if the chest did not need ADM service?													
п	In If yes, when and how was the case manager extified? In the Comments column, list the staff interviewed and the date													
11	the case manager was notified.													
	us. In res, score this as fight and state that the file does not indicate that the cheet moved out of the service area or died in the Comments column.													
If the file indicates that the sheet indicated that Atter	Verifythrough document review, in the Comments col-													
If the file indicates that the cheet indicated that ADM service is not wanted, did the ADM entity the case manager within one (1) working day?	Verifythrough discussed review, to the Comment column, list the discussed (i) reviewed and the discs of discussed time, including the date of notification to the case manager. Sit, case that the client did not indicate that the ADM concer is not waited.													
	manager. If fight, clate that the client did not indicate that the ACM sense is not wanted.													
If the file reduces that the cleen but financial broad	Verifythrough document review, in the Commentscolumn,													
If the file indicates that the client localinaecus elogibilitis, did the ADH outify the case manager within 28 one (2) working day?	tid the document(s) reviewed and the dates of documentation, including the date of notification to the case													
	ADD connex is not waited. Verify through distance moves—in the Commercia culcium, but the distance of everyed another dates of documentation, including the date of notification to the code manager of fulfil, state that the client did not lose financial eligibility.													
If the file indicates that services can no longer be provided, did the ASM notify the case manager within 35 one (2) working day?	registring. verifythough document review in the Comment column, for the document() reviewed another date of documentation, schulding the date of conflication to the care enough; if all, case that the file date in the date that service can no longer be provided.													
	manager. If folk, case that the file distinct indicate that services can no longer be provided.													
The file contains betwee Authorization Norm to DYSOE 25 terminate concest? (f applicable).	Verifythrough document review, in the Comments column,													
25 sermonate censcact (E applicable).	Verifythrough document review. In the comments column, too the document(s) reviewed and the dates of documentation. If fs/A, state that senates were not													

Manual part			Palest Nie 1	Fidentifie 2	Patient Nie 1	Patient File 6	Fallerd File 1	Palest File 6	Fallent File 2	Patient Nie X	Fidentifies	Falired File 10
March Marc	sa Medicald Agency day Health Center Audit Soul - Client File	Name of Clients	Patient Nie 1	Fallent File 2	Patient No 1	Patient File 6	Fallent File S	Patient Nie 6	Palent File 7	Patient Nie E	Patient File 1	Patient File 10
Part		Madical Rules Number										
Manufacture of American Control of Control o	Į.											
Marie Mari		Period of Strokes										
Part	The fire drawed no evidence of unreached abuse. Mandaton	Verify through discovered myony and both-staff and client	1	Parket Committee		Today Consult	Table Committee	Andrew Committee	Territoria Territoria	Commit .	Table Committee of the	- town
Part	neglect, mistreatment or exploration (XXME)?	intendew. If any evidence of ANNIX is found, the auditor will										
Part		pull a report from the dateway to Community Dving (GCL)										
The second control of		modest was reported (1) in the portal and (2) to the										
The content of the		appropriate investigative entities, if required reporting did										
Part		not occur, the auditor will take any necessary disposa encure										
Part		reporting and investigation are made within the timeframes										
Part												
Manual content of the content of t		the documents reviewed and disn'ts interceived. If there was no professor found of unproported \$5500. This should be										
Management of the control of the c												
Manufacture register in the control of the control		unreported ANNM and the actions taken by the auditor.										
Manufacture particular												
A	the file shawed no evidence of restrictive Dissoil	Verify through document review and both-coff and chent										
The second control of the control of												
Part		with a disability including chemical restorat, mechanical,										
Part		rectroms, and seducion. Note that is this contest, seducion. this can include solutions clearly us "times of " and harmone."										
Part		on activity satiscustion. However, seclusion does not include										
Part And Andrew Control Co		isolating actions due to ithress or infection). If any evidence										
The control of the property of of the p	'	will gulf arregort from the Eathway to Community Syring (SCL)										
Manufacture		portal for the applicable individual(c) to determine if the										
The control of the co												
See See Control of Con		not occur, the auditor will take any necessary dead to encure										
And the control of th												
Section of the Continue of the		required reporting and investigation are made within the										
Secretary for contract and the contract of the	'											
Section of the control of the contro		intendenced. If there was no evidence found of unreported										
State Stat		ANMS, this chaudable considered Met. If Not Met, provide the										
A control cont		auditor.										
A control cont	A signed copy of Complaint/Grevance Policy and Critical	Verifythrough document review, to the Comments column.										
With a second and according to the control of the c		ate the document(id evidened.										
Service of the control of the contro	ecapplicable, the client file contains records of all Distroil	Visify through document review and both staff and client										
The second of th	against any staff member and action taken, including	1. You the client/Tarrily reported or been involved in any										
And the control of th		moderats with the employee?										
The Comment of the Co	An ADM Director?	2. If sa, what were they and when did they occur? Mere any										
A final control and control an												
Part		in the Comments column, list the document(s) reviewed										
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#	Audit Question	Requirement	Guidelines	Finding	Comments
	Confirm the following elements are provided:				
1	Center open Monday through Friday for a minimum of 7 hours daily?	Mandatory	Verify through document review and staff interviews. This will include time periods for staff-directed activity, free time, meals and snacks. Exceptions may be made for the following reasons: COVID-19 considerations, weather-related closures, etc. If Not Met, describe the deficiency in the Comments column.		
2	Holidays less than 14 per year?	Critical	Verify through document review and staff interviews. If Not Met, describe the deficiency in the Comments column.		
3	Written notice of holiday one week in advance?	Non Critical	Verify through staff interviews how and when clients are notified of holidays. If Not Met, describe the deficiency in the Comments column.		
4	At least two staff (may be one staff and the director, or two staff members) at the center during periods when clients are present?	Critical	Verify through document review, observation, and staff interviews. If Not Met, describe the deficiency in the Comments column.		
5	Weekly activity plan posted outlining daily activities and is written in large letters and posted in an area where clients can view it without difficulty?	Critical	Verify during facility tour that activity plan is posted. In the Comments column, state the location the activity plan is posted. If Not Met, describe the deficiency in the Comments column.		
6	At least 4 hours planned activities offered daily?	Critical	Verify schedule through staff interviews and activity schedules. Interview competent clients to confirm they were offered the activities indicated on the schedule and participated as desired. Activity periods will be sequenced and timed to accommodate individual needs of the client served and staff planning and familiarity with the operating schedule will provide for clients to move smoothly from one activity period to the next. In the Comments, list the staff and clients interviewed. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
7	Both indoor and outdoor activities offered?	Critical	Verify through staff interviews and activity schedules. Interview competent clients to confirm they were offered both indoor and outdoor activities, as indicated on the schedule and participated as desired. In the Comments column, list the staff and clients interviewed and a sample of outdoor activities offered. If Not Met, describe the deficiency in the Comments column.		
8	Individual and group activities offered?	Critical	Verify through staff interviews, materials, activity schedules, and care plans. Interview competent clients to confirm they were offered both individual and group activities, as indicated on the schedule and participated as desired. In the Comments column, list the staff and clients interviewed and a sample of individual and group activities offered. If Not Met, describe the deficiency in the Comments.		
9	Choices of planned therapeutic activities on a daily basis that stimulate mental activities, communication and self-expression offered? (i.e. reality orientation, exercise, crafts, music, educational and cultural programs, games, etc.)	Critical	Verify schedule through staff interviews, materials, activity schedules and care plans and observations. Interview competent clients to confirm they were offered choices of planned therapeutic activities, as indicated on the schedule and participated as desired in their chosen activities. Interview staff and observe to verify they offer choices in a meaningful way and support the client's decision-making. 1. Does the ADH offer a variety of meaningful non-work activities that stimulate mental activities, communication and self-expression on a daily basis? 3. Does the ADH allow individuals to choose with whom to do activities in the setting or outside the setting, or are individuals assigned only to be with a certain group of people? 4. Do clients feel that they are offered a variety of choices of individual and group activities daily? In the Comments column, list the staff and clients interviewed and a sample activities offered. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
	Does the Center provide a variety of choices of individual and group	Mandatory	Verify schedule through staff and client interviews and materials.		
	activities directed at maintaining, improving and preventing further		Interview staff and observe to verify they offer choices in a		
	deterioration of the clients' mental and physical capabilities and		meaningful way and support the client's decision-making. Interviews		
	abilities to exercise autonomy and independence in making life		should include specific examples of how the following probes are		
	choices, including but not limited to, daily activities, physical		addressed:		
	environment, and with whom to interact?		1. Does the ADH offer a variety of meaningful non-work activities that		
			respond to the goals, interests and needs of individuals? How does		
			the ADH assess and determine the alignment of activities offered and		
			clients' interests?		
			2. Does the physical environment support a variety of individual goals		
			and needs (for example, does the setting provide indoor and outdoor		
10			gathering spaces; does the setting provide for larger group activities as		
			well as solitary activities; does the setting provide for stimulating as		
			well as calming activities)?		
			3. Does the ADH allow individuals to choose with whom to do		
			activities in the setting or outside the setting, or are individuals		
			assigned only to be with a certain group of people?		
			4. Do clients feel that they are offered a variety of choices of individual		
			and group activities?		
			In the Comments column, list the staff and clients interviewed and a		
			sample of individual and group activities offered. If Not Met, describe		
			the deficiency in the Comments column.		
			Refer to CMS document entitled Exploratory Questions to Assist		
	Does the ADH provide a variety of opportunities and choices for	Mandatory	Verify through staff and client interviews and materials examples of		
	access to the community, as appropriate to the needs and interests of		opportunities for access to the community. Interview staff and		
	individual participants, including information and/or referral to		observe to verify they offer choices in a meaningful way and		
	employment or volunteer opportunities?		support the client's decision-making. Interviews should include		
			specific examples of how the following probes are addressed:		
			1. Does the ADH afford opportunities for individuals to have		
			knowledge of or access to information regarding age-appropriate		
			activities including competitive work, shopping, attending religious		
			services, medical appointments, dining out, etc. outside		
11			of the setting, and who in the setting will facilitate and support access		
			to these activities?		
			2. How does the ADH determine what opportunities and choices it		
			should offer?		
1			3.Do clients feel that they are offered opportunities and choices that		
1			align with their needs and interests?		
			In the Comments column, list examples of opportunities and choices		
			provided and the names of staff and clients interviewed. If Not Met,		
			describe the deficiency in the Comments column.		
			Refer to CMS document entitled Exploratory Questions to Assist States		

#	Audit Question	Requirement	Guidelines	Finding	Comments
12	Does the ADH provide opportunities for group socialization and activities that promote integration into the broader community?	Mandatory	Verify through review of activities and opportunities offered and both staff and client interviews. Refer to CMS document entitled Exploratory Questions to Assist States in Assessment of Non-Residential HCBS Settings. Interviews should include specific examples of how the following probes are addressed: 1. Does the ADH provide opportunities for regular meaningful nonwork activities in integrated community settings for the period of time desired by the individual? In the Comments column, list the document(s) reviewed and the names of staff and clients interviewed. Cite examples of opportunities for group socialization and activities that promote integration into the broader community. If Not Met, describe the deficiency in the Comments column.		
13	Information and activities related to nutrition offered, including healthy foods, food preparation, and eating habits?	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and provide examples of nutrition-related activities offered, including the related materials reviewed. If Not Met, describe the deficiency in the Comments column.		
14	Activities related to health offered?	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and provide examples of health-related activities offered, including the related materials reviewed. If Not Met, describe the deficiency in the Comments column.		
15	Recreational/leisure time activities offered that are appropriate for adults?	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and provide examples of recreational/leisure time activities offered, including the related materials reviewed. If Not Met, describe the deficiency in the Comments column.		
16	Information and activities related to daily living skills offered as applicable to age group, economic situation and existing disability.	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and provide examples of information and activities related to daily living skills offered, including the related materials reviewed. If Not Met, describe the deficiency in the Comments column.		
17	Physical activities offered?	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and examples of physical activities-related activities offered. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
18	Educational activities offered? (i.e. current events, history, government, etc.)	Critical	Verify through staff interviews and materials. In the Comments column, list staff interviewed and provide examples of education activities offered, including the related materials reviewed. If Not Met, describe the deficiency in the Comments column.		
19	Areas are available for different activities? (rest, reading, games, etc.)	Critical	Verify during facility tour, staff interviews, and client interviews. If Not Met, describe the deficiency in the Comments column.		
20	Center has an adequate supply of table games, magazines, books puzzles, etc.?	Critical	Verify during facility tour that an adequate supply is provided. If Not Met, describe the deficiency in the Comments column.		
21	Weekly menus posted?	Critical	Verify during facility tour that a weekly menu is written large enough and posted in an area where it can easily be read by clients and visitors. Menus should be prepared one week in advance, and a variety of foods should be offered and appropriately served. In the Comments column, state the location the menu is posted. If Not Met, describe the deficiency in the Comments column.		
22	Provides nourishment appropriate to the number of hours the client attends the ADH center, but not equal to a full nutritional regimen (3 meals per day). Provides at least one meal and snack for clients in attendance more than four hours. Encourages clients to follow medical appropriate diets	Critical	Verify policy for determining nourishment appropriate to the number of hours the client attends the ADH center through document review and staff interview. Meals and snacks will be spaced at time intervals to accommodate the needs of the clients served. In the Comments column, cite policy reviewed with effective date and list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
23	Snacks given to clients attending more than four hours?	Critical	Verify through staff interviews the Center's snack schedule. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
24	Full-time and part-time clients receive same meals and snack?	Critical	Verify through staff interviews the Center's snack and meal regimen. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
25	Special diets accommodated? (i.e. Diabetic, low fat, low Sodium)	Critical	Verify through staff interviews the Center's policy for accommodating special diets. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
26	Current food inspection to prepare meals posted in a prominent place? (within past 12 months and an approval from the Health Department (within 12 months) if receiving food?; NOTE: if provider has evidence of attempts to get inspection done, do not deduct critical points	Critical	Verify through documentation. The ADH provider must maintain a current (within past I2 months) health inspection if food is prepared and an approval from the Health Department (within I2 months) if receiving catered food. Inspection results must be posted in a prominent place in the center. In the Comments column, provide the date of documentation.		
27	Temperature of refrigerator(s) below 50 degrees?	Critical	Verify during facility tour that temperature is below 50 degrees. In the Comments column, list the temperature.		
28	Foods stored properly?	Critical	Verify through onsite observation of expiration dates, food storage, etc. If Not Met, describe the deficiency in the Comments column.		
29	Milk and other dated foods current?	Critical	Verify during facility tour that food dates are current. If Not Met, describe the deficiency in the Comments column. If Not Met, describe the deficiency in the Comments column.		
30	Garbage cans in kitchen have tight fitting covers?	Critical	Verify during facility tour via observation. If Not Met, describe the deficiency in the Comments column.		
31	Garbage removed from kitchen daily?	Critical	Verify during staff interviews and onsite observation. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
32	Drinking water located where clients can access easily?	Critical	Verify during facility tour via observation. In the Comments column, list where drinking water is located. If Not Met, describe the deficiency in the Comments column.		
33	Staff daily observe client's personal hygiene on a daily basis?	Critical	Verify through staff interviews the Center's policy for addressing clients' personal hygiene and observation. Ask staff to provide examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
34	Staff assist clients with personal hygiene when needed?	Critical	Verify through staff interviews the Center's policy for addressing clients' personal hygiene and observation. Ask staff to provide examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
35	Staff provide privacy for and assist in the development of self-care and personal hygiene, and for social support services and other activities as appropriate?	Mandatory	Verify through observation, staff interviews, and client interviews the Center's policy for addressing clients' personal hygiene, self-care, social support services, and other activities as appropriate. Questions should include: 1. For staff: Does the ADH support individuals who need assistance with their personal appearance to appear as they desire, and is personal assistance, provided in private, as appropriate? Provide examples. 2. For clients: Do staff provide support for personal care and hygiene when you need it? How so? In the Comments column, list the staff and clients interviewed and examples of how staff provide for privacy and assist with the development of self-care and personal hygiene. If Not Met, describe the deficiency in the Comments column. Refer to CMS document entitled Exploratory Questions to Assist States in Assessment of Non-Residential HCBS Settings.		
36	Staff observe clients daily for new health problems?	Critical	Verify through observation and staff interviews the Center's policy for daily observation. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
37	Does the ADH observe and assist the clients/patients with meals and eating?	Critical	Verify through staff interviews the Center's policy for daily observation. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
38	Staff assist with activities of daily living such as grooming, dressing and maintenance of clothing?	Critical	Verify through staff interviews the Center's policy for daily observation. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
39	Staff isolate clients when needed? (client with symptoms of contagious disease)	Critical	Verify through staff interviews policy for isolating clients. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
40	Staff report symptoms of new physical, functional, mental or emotional problems to case manager and caregiver as noted?	Critical	Verify through staff interviews policy for reporting. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
41	Staff ensure clients are free from coercion and restraint at all times?	Mandatory	Verify through observation, staff interviews, and client interviews. Interview questions should include: 1. For staff: How do you ensure that clients are free from coercion and restraints? Describe your understanding of what coercion and restraints are. 2. For clients: Have you ever felt threatened by staff or forced to do something that you did not want to do? Have you ever been restrained physically by staff or through mechanical means? In the Comments column, list the staff and clients interviewed and describe staff's understanding of coercion and restraint and how the ADH ensures clients are free from both. If Not Met, describe the deficiency in the Comments column. Refer to CMS document entitled Exploratory Questions to Assist States in Assessment of Non-Residential HCBS Settings.		
42	Staff report suspected abuse and neglect by phone or in person to DHR and the case manager immediately and submitted a written report within five (5) days?	Mandatory	Verify through staff interviews policy for reporting. Ask staff about reporting policies and protocol. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
43	Staff teach positive health measures and encourage self-care?	Critical	Verify through staff interviews the center's policy for encouraging self- care. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
44	Staff monitor vital signs as needed?	Critical	Verify through staff interviews the center's policy for monitoring vital signs. Ask staff for examples of conducting this activity. If Not Met, describe the deficiency in the Comments column.		
45	Staff provide support to carry out physician orders as needed?	Critical	Verify through staff interviews the center's policy for monitoring vital signs. Ask staff for examples of conducting this activity. In the Comments column, list the names of interviewed staff. If Not Met, describe the deficiency in the Comments column.		
46	No other waiver services except for Case Management are provided while clients are receiving ADH services?	Critical	Verify through observation, document review, and staff interviews. In the Comments column, list the names of interviewed staff and document(s) reviewed. If Not Met, describe the deficiency in the Comments column.		

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#	Audit Question	Requirement	Guidelines	Finding	Comments
	Facility is clean and attractive?	Critical	Verify during site tour via observation. If Not Met, describe the		Commond
58	a domey to decan and activative.	C. rei cai	deficiency in the Comments column.		
	Facility is free of undesirable hazards such as broken furniture,	Critical	Verify during site tour via observation. If Not Met, describe the		
	backed up plumbing, exposed electrical wires, falling ceiling, holes in		deficiency in the Comments column.		
59	floor, cords in walking areas, etc.?				
	If center is upstairs, elevators are accessible to individuals who	Mandatory	Verify during site tour via observation. If Not Met, describe the		
60	cannot walk upstairs?		deficiency in the Comments column. If Not Applicable, state the		
	- 111.		rationale in the Comments column.		
	Facility is wheelchair accessible?	Mandatory	Verify during site tour via observation. Ramps must be provided at		
61			entrances to the building. If Not Met, describe the deficiency in the Comments column.		
	Safety rail available in areas with steps?	Mandatory	Verify during site tour via observation. If Not Met, describe the		
62	Safety fail available in areas with steps:	ivialidatol y	deficiency in the Comments column.		
02			denote by in the comments column.		
	Rooms are well lit?	Mandatory	Verify during site tour via observation. If Not Met, describe the		
63			deficiency in the Comments column.		
	Rooms are well ventilated?	Mandatory	Verify during site tour via observation. If Not Met, describe the		
64			deficiency in the Comments column.		
	Thermostat is available to regulate room temperature?	Mandatory	Verify during site tour via observation. If Not Met, describe the		
65			deficiency in the Comments column.		
		Cuitiaal	Mariford with a standard of the second standa		
66	Floors are non-skid and free of loose rugs?	Critical	Verify during site tour via observation. Floors and rugs should be nonskid and free from dampness and odor. If Not Met, describe the		
00			deficiency in the Comments column.		
	Windows and doors are screened if used for ventilation?	Critical	Verify during site tour via observation. If Not Met, describe the		
67	Third was and about are selective in ascartor ventuation.	Circical	deficiency in the Comments column.		
68	One area is large enough for all clients to meet comfortably in at one	Critical	Verify during site tour via observation. If Not Met, describe the		
08	time?		deficiency in the Comments column.		
	The center has enough chairs, tables, dishes and utensils available to	Critical	Verify during site tour via observation. If Not Met, describe the		
69	accommodate the clients in the program?		deficiency in the Comments column.		
	Franchise to a seef-while and desire a live or a live of the live of the live of	Cuitinal	Marifordinal algorithms and a pharmack of the state of th		
	Furniture is comfortable and designed to meet the physical needs of	Critical	Verify during site tour via observation. If Not Met, describe the		
70	the participants?		deficiency in the Comments column.		
	There is at least 35 sq. feet of activity space for each client (does not	Critical	Verify during site tour via observation. If Not Met, describe the		
	include office space, halls, bathrooms, kitchen, or storage)?		deficiency in the Comments column.		
71			·		

#	Audit Question	Requirement	Guidelines	Finding	Comments
72	One bathroom available for every 15 clients?	Mandatory	Verify during site tour via observation. The ADH center will maintain a minimum of two restrooms available regardless of the number of participants enrolled. If Not Met, describe the deficiency in the Comments column.	J	
73	Bathroom doors permit opening of locked doors from the outside in case of emergency?	Mandatory	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column.		
74	Opening device to open locked bathroom doors is readily accessible to staff?	Mandatory	Verify during site tour via observation and confirm staff knowledge. In the Comments column, list the names and titles of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
75	Toilet paper, paper towels, and soap in all bathrooms?	Critical	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column.		
76	Wash cloths and towels are available for use?	Critical	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column.		
77	Extra clothing is available for clients if needed?	Critical	Verify during site tour via observation as well as staff interviews. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column		
78	Isolation area is available in the facility? NOTE: The arrangement of curtains or movable screens used to section of part of an activity area is not acceptable.	Critical	Verify during site tour via observation as well as staff interviews. The center must have space available to isolate a sick or upset participant temporarily or to allow participates to rest if needed. The area will provide privacy for the participant and will be in an area where staff can monitor easily. In the Comments column, list the names of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
79	Per CFR § 164.310, office space is available for storage of records and to provide private conferences, complying with federal and state confidentiality laws and regulations in regards to storage of client and employee files?		Verify during site tour via observation and staff interviews. In the Comments column, list the names and titles of staff interviewed. If Not Met, describe the deficiency in the Comments column.		
80	One CPR and first aid certified staff is available when clients are in attendance?	Mandatory	Verify through staff schedules, documentation and staff interview during site tour. In the Comments column, list the name of the certified staff member(s) available during the tour. The staff schedules and documentation must show that a certified staff member was available during all ADH program hours when clients were in attendance for the review period. If there were any lapses in the documentation, or missing documentation, this must be scored as Not Met.		
81	A fully stocked first aid kit and a telephone is available at all times within the facility?		Verify during site tour via observation and staff interviews. In the Comments column, list the names of individuals interviewed. If Not Met, describe the deficiency in the Comments.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
82	Transportation is provided to and from the facility?	Mandatory	Verify during site tour via observation and staff interviews. In the Comments column, list the names of individuals interviewed. If Not Met, describe the deficiency in the Comments.		
83	Current liability insurance carried on the vehicle?	Mandatory	Verify by viewing documentation. In the Comments column, cite the document reviewed, the insurance company, the amount of liability insurance and the dates showing the policy is currently in effect. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
84	Drivers have current Alabama driver's licenses?	Mandatory	Verify during site tour via observation and staff interviews. In the Comments column, for each applicable driver, list the driver name, the driver's license number and the effective dates reflecting current licensure. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
85	Vehicle has working signal lights, break lights, head lights, tail lights, windshield wipers, horn, proper rear and side mirrors and good tires?	Mandatory	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
86	The number of passengers in the vehicle is limited to the vehicle's capacity?	Mandatory	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
87	Vehicle has safety belts for each client?	Mandatory	Verify during site tour via observation. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
88	Clients are encouraged to wear seat belts when vehicle is in motion?	Critical	Clients are encouraged to wear seat belts when vehicle is in motion. Interview drivers and competent clients to verify, and inspect all vehicles to ensure there are working seat belts for each client. In the Comments column, list the names of staff and clients interviewed. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
89	Wheelchair clients are restrained and chairs are tied down when the vehicle is in motion?	Mandatory	Wheelchair clients are restrained, and chairs are tied down when vehicle in motion. Interview drivers and competent clients to verify, and inspect all vehicles to ensure there are working seat belts for each client. In the Comments column, list the names of staff and clients interviewed. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
90	Clients enter and leave vehicle from curb side only and driver waits for the clients to enter the building, and/ or their home before driving off?	Critical	Clients enter and leave vehicle from curb side only and driver waits for the clients to enter the building and or home before driving off. Doors are locked when the vehicle is in motion. Interview drivers and competent clients to verify. In the Comments, list the individuals interviewed. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		
91	Doors are locked when the vehicle is in motion?	Critical	Doors are locked when the vehicle is in motion. Interview drivers and competent clients to verify. In the Comments, list the individuals interviewed. If Not Met, describe the deficiency in the Comments column. Note: Some centers contract with other private companies for transportation. This question remains applicable. However, some centers use public transit for their transportation needs; those vehicles do not require inspection.		

#	Audit Question	Requirement	Guidelines	Finding	Comments
	Fire extinguisher is in the vehicle?	Mandatory	Verify during site tour via observation. If Not Met, describe the		
			deficiency in the Comments column.		
			Note: Some centers contract with other private companies for		
92			transportation. This question remains applicable. However, some		
			centers use public transit for their transportation needs; those vehicles		
			do not require inspection.		
	Adequately stocked first aid kit is in the vehicle?	Critical	Verify during site tour via observation. If Not Met, describe the		
			deficiency in the Comments column.		
			Note: Some centers contract with other private companies for		
93			transportation. This question remains applicable. However, some		
			centers use public transit for their transportation needs; those vehicles		
			do not require inspection.		

Source:

These requirements are listed in ADSS's ADH policies, which can be found in the following location: Link to be provided.