Documentation and Advance Work-Planning For Audit Readiness

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Work Plan

Item	Definition	Rationale
List the Audit Standard or work to be done	List the Definition	Write the rationale for the activity or approach to the work described
In this section write the date of the activity for the item and describe the activity including outcome. Use this work plan format for (1) meeting agendas; (2) meeting minutes; (3) reporting project progress and outcomes Evaluate and archive annually Use as a proof for auditor review during site visits Shade out completed areas and archive		
Item	**Definition**	**Rationale**

Example - QM Audit Readiness Work Plan

Item	Definition	Rationale
Obtain Audit Standards from Monitoring Organization	Determine Source for acquiring standards and process for acquiring current audit standards	Agencies may be audited by funders, Accrediting Bodies, State, or Federal Departments
050111: QM Coordinator Ordered JCAHO Standards and Pre-Readiness Kit On-line 060111: QM Committee Reviewed JCAHO Standards and discussed process for informing agency staff on process including presentation at general staff meeting, employee news letter, and consumer news letter.		
Item	**Definition**	**Rationale**
060111: QM Committee began discussion of work plan to assign responsibility for assignment of responsibilities by standard to agency departments	Department heads have agreed to assume responsibility for maintaining audit readiness and documentation that is demonstrative of operating according to the standards	Delegating responsibility for tracking performance against specific audit standards insures a high standard of practice and provides documentation that both demonstrates practice and material of auditor site visits.
060111: Department heads will provide work plan for audit standards delegated to them and include strategies for imbedding the m in the day-to-day operation and tracking for demonstration of practice/compliance		
Item	**Definition**	**Rationale**

Example - Policy and Procedure Update Work Plan

Item	Definition	Rationale
Individual Policies and Procedures assigned to Departments and staff for development and editing	Policies and Procedures are developed according to audit standards and undergo annual reviews in order to include updated information, changes in requirements and advances in the paradigm	By assigning responsibility for routine review and updates, staff are able to research information, pole staff, and make edits that are then presented to the QM committee for approval and publishing. Policies and Procedure updates include references to support mandates, changes and edits.
070111: QM Committee developed a categorical list of Policies and Procedures which is located on the N: drive and Public Web-site. Instructions for linking to individual policies and procedures listed is provided on the web-site. A schedule of annual review of each policy was also developed and disseminated to each department head. Department head s will assume or delegate responsibility within their area for reviewing, updating and reporting on updates/edits according to this schedule. 090111: QM committee reviewed Policy list for updates scheduled for completion by 093011. Department Heads for HR, IS, and Rights were in attendance and reported on progress of review of policies identified for this quarter. 100111: QM committee received report and edits for policies and procedures for this quarter. All edits were reviewed and writers were present to answer questions of committee members. Updates were accepted. The committee reviewed the Policy work plan to determine which will be reviewed for end of the next quarter.		

Item	Definition	Rationale

Client Record Work Plan

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Organization of client record	The record must be organized according to standard… in order to provide evidence of all client activities necessary for care	Review of a sample of client records demonstrates that the degree of organization is consistently applied
070111: The QM committee reviewed the index and layout of the client record to insure that all required documents sections are provided for in an easy to navigate hard record as well as electronic version The formula for randomization of sample selection was used to select 10 records and the committee checked the chart organization against the index and layout. One of 10 records reviewed was missing the Index. Administrative staff responsible for organizing and filing records will check each record prior to filing or re-filing to insure the index is present 100111: The QM committee repeated the randomized selection of 10 charts to determine that all records of the sample contained an index. 100% of sample contained an index.		
Medication Consent	The record must contain evidence to meet the standard for the safety and efficacy of treatment	Review of the Medication Consent document is to insure that the reason for the medication, class, dose range, method, possible side effects, etc. are clearly available. A review of a sample of records is completed to insure the practitioner is correctly using the document
070111: The Medication consent form was reviewed by the committee to insure all required fields are represented on a form. An internal audit by the Quality Management department will be conducted annually to insure that Medication Consents are filled out correctly and filed in the chart for each medication prescribed. 100111: The Quality Management staff reported the results of the annual Medication Consent internal Audit. The formula for random selection of charts was used to select a 20% sample. 100% of charts for individuals receiving medication contained a Medication Consent form. Of the charts with Medication Consents, 2 contained errors of omission for dose ranges. The prescribing physician was asked to fill in the dose range information at the time of the audit. A review of all charts for the physician will be reviewed by his office staff to insure the error is not repeated. Report of completion will is due 120111 and QM will inspect a 10% sample for review to insure accuracy of the report by 121511.		
Item	**Definition**	**Rationale**

Example QA Audit Readiness Work Plan

Item	Definition	Rationale
Quality Assurance	The degree to which the services provided at the client contact moment were efficacious and ameliorating to the client	Determining client satisfaction with services is an indication that targeted issues according the needs and concerns of the client are attended to in a way that promotes recovery
070111: The QM and UM committee met to determine which trend in UM data would be targeted for a QA review. The last two quarters demonstrated a spike in after hours crisis calls as compared to the same time frame from last year. A review team will analyze records to determine a possible practice based influence to this trend as well as determine if a practice based approach could have an effect that would reduce the trend.		
Semi-Annual Review of Algorithms for Depression	A review of records to determine if algorithms for depression are being followed as a best practice by clinical staff.	A QA assurance review of practitioner compliance to treatment algorithms and critical practice demonstrates practitioner competency and use of evidence based practices
080111: The QM committee will identify a clinical team for review of practice according to the algorithms and critical pathways for treatment of depression . The review will be conducted by 100111 and include at least one outside reviewer who is a peer of the practioners under review.		
Item	**Definition**	**Rationale**

Example Audit Readiness Work Plan

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Training	The HR record includes individual employee/staff training activities provided by the agency as well as those attended that were not provided by the agency but necessary to demonstrate ongoing practitioner certification and development	Licensed and unlicensed staff must participate in Orientation and annualized trainings required by Federal, State, and Agencies. Additionally, Licensed staff are required to provide evidence of Continuing Education Credits to support their scope of practice.
070111: QM and HR directors planned a staff record review to determine compliance with annual and specialized training requirements. All employee records will be reviewed and all staff will be provided with an outcome of the review with regard to their personal training needs. The target date for the review, including staff notification of compliance is 103111.		
Competency	Each staff is hired to provide specific tasks at a high standard of competence	Competency is intended to insure that tasks performed by staff employed by the agency will have the highest level of efficacy for persons served by the agency
070111: HR provided job descriptions with competencies listed for each one to the QM Committee. The list of competencies for each position will be reviewed to insure they indemnify the scope of practice and an review of records to determine that supervisors are rating the level of competency of their staff according to each.		
Item	**Definition**	**Rationale**

Maintaining Audit Readiness

Readiness Structure

