

## **ATR Audit and Sight Visit Policies and Procedures**

In the interest of ensuring that all Access to Recovery (ATR) Grant funds issued by the Substance Abuse and Mental Health Services Administration Center for Substance Abuse Treatment (SAMHSA-CSAT) to the State Department of Health Alcohol and Drug Abuse Division (ADAD) are managed, distributed and documented appropriately, a Quality Assurance (QA) site visit will be conducted by ADAD-ATR Staff.

Below are listed the policies and procedures pertaining to the QA site visits that are going to be done on service providers during ATR Ohana.

### **Sight Visits and Audits**

- *As a condition of signing the MOA, service providers can be subjected to an unannounced sight visit or audit at any time. All ATR records will need to be readily accessible for the ATR-Ohana Staff.*

### **Desk Audits**

- Desk audits of service providers by the Quality Assurance Monitor will be done continuously throughout the duration of the contract. The QA monitor will make contact with service providers should any questions and concerns arise.
  - The Quality Assurance monitor will make the determination of whether an on-sight visit will be needed.
- *A desk audit through the WITS system will be done for Service providers who bill LESS than \$10,000 a quarter. A possible follow up may include a site visit, which will be at the discretion of the QA monitor, with collaboration of the ATR Program Director.*

### **Announced Site Visits**

- All service providers who have signed an MOU with DOH-ADAD will be audited, at a minimum, once a year starting from the date that the MOU was signed. For example, if the MOU was signed on February 4, 2011, an audit can be done anytime between the period of February 4, 2011 to Feb 3, 2012.
- An on sight audit will automatically be done on Service providers who bill MORE than \$10,000 a quarter for more than two quarters in a consecutive 12 month period

### **Determination of Sight Visit Date**

- The QA Monitor will contact the agency's administrator or contact person, through email or phone.
- A date will be agreed upon by BOTH the service provider and the QA Monitor.
- Service providers should provide at least 72 hours notice if there is a request for the sight visit to be re-scheduled. If notice is given inside the 72 hour period, the

QA Monitor will make the decision on whether or not to perform the audit or re-schedule it.

### **Audit Notification Letter**

An audit notification letter will be mailed to your agency prior to the scheduled audit. This letter will contain:

- Date and time of the scheduled sight visit
- Duration of the visit
- Sample of the audit sheet that will be used during the sight visit.

### **Duration of Visit**

- Sight visits/audits will take place between 9:00am and 3:00pm on state business days. Depending on the number of client files to be audited/reviewed, the complete audit may take more than one business day to complete.
  - The initial audit letter sent to your agency will state the time and date(s) of the scheduled audits.

### **Determination of Client files to be reviewed**

- A sample of client files will be randomly picked by the auditor from the WITS system.
  - The list of client files to be reviewed will be given to the agency's administrator upon the Quality Assurance's arrival. A pre-determined client list will be delivered with the initial audit letter to your agency. All pre-determined files must be available for review upon arrival of the auditor.

### **During Audit**

- Service Provider staff should be available to answer any questions/concerns that the QA monitor may have. We understand that all staff may not be present during the audit but we ask that at minimum the administrator in charge of ATR be present for any questions and or concerns.
- The QA monitor shall have access to a computer so that the WITS system can be accessed.

### **Post audit Meeting**

- A meeting will be held at with the service provider's administrator prior to the QA monitor leaving the sight. Other staff members are also welcome to attend this meeting.
  - At this meeting, a verbal "snapshot" of general audit findings will be given by the QA monitor covering the strengths and the areas of concern that the audit uncovered.

### Summary of Findings

- A copy of the written summary of the audit findings will be mailed to the service provider within 15 business days of the sight visit. ( 3 weeks)
  - The verification of receipt of the summary of findings will need to be signed and either faxed or mailed back to ATR Ohana.
  - The summary of finding will include areas of strengths, areas of concerns and any corrective action measures that will need to be completed.

### Corrective Actions

- IF the summary of findings list that a correction action plan will need to be developed, a meeting will be scheduled with the program administrator.
  - Every effort should be made for all workers involved with ATR clients, to attend the scheduled meeting.

#### Purpose of the Meeting:

- To review area(s) of concern
- To review what needs to included in the agency's corrective action plan.
- To communicate when the corrective action plan is due.
  - All portions of the corrective action plan may not be due on the same date.
    - Specific due dates will be given to ALL corrective action measures that need to be completed.
    - Corrective actions measures that need IMMEDIATE ATTENTION will be emphasized and a designated due date will be assigned.