

Compliance Self-Audit

Compliance Audits can be stressful. Ensure you're ready for your next audit.
Use this checklist to make sure you have the required policies and procedures in place.

	Yes	No
Do you hold and document fire drills in residences at least quarterly?		
Is your evacuation plan available, and does it identify all means of egress and include an identified meeting place in each residence?		
Are your emergency plans for fire and natural disasters accessible in each residence?		
Are fire extinguishers in place, annually reviewed and operational in each residence?		
Are portable space heaters used in any bedrooms or bathrooms?		
Are all exits in residences clear of obstructions?		
Are emergency numbers available for police, fire, and ambulance (911), the Individual's legal representative, local BDDS office, the Individual's case manager, APS, and the DD waiver ombudsman in an area visible from the telephone used by the Individual or as indicated in the PCISP in each residence?		
Are all areas of your homes accessible to the Individuals with unlimited access and accounts for Individual's physical limitations (ramps, grab bars, shower chairs - any equipment to make conditions accessible).		
Are any of your homes dirty, have offensive odors, insects or rodents?		
Are there any missing outlet covers or exposed wiring in your homes?		
Is the temperature in the homes adequate for the season?		
Are toxic substances and cleaners kept in their original containers, away from food and secured?		
Is food present in each home in accordance with each Individual's diet needs as indicated by their plans?.		
Are all Individuals staffed and supervised to meet each Individual's needs?		
Are current PCISPs present for each Individual in their respective residence?		
Are BSPs/supervision plans in place (if indicated) and implementation is being documented?		
Are protocols for medical emergencies in place?		
Are medications stored separately, locked and according to medication requirements (i.e. refrigerated if necessary) and dispensed from the original container or as indicated in the PCISP?		
Are employees implementing current COVID-19 precautions with documentation of implementation?		
Are vehicle insurance and registration documents present in all vehicles?		
Is tracking of vehicle maintenance documented and present in your office for both company owned and personal vehicles?		
Do all safety devices in vehicle(s) appear in good condition?		
Are MARs reviewed on a regular basis to ensure accuracy?		
Are any seizure management programs implemented and documented?		
Are any health related incident management programs implemented and document?		
Are any behavior support services programs, including behavior tracking, implemented and documented?		
Are all environments free of any evidence that a reportable incident may not have been reported?		
Is documentation of PCISP outcomes (goals) and progress made toward achieving those outcomes present?		

Yes No

Are all Risk Assessments and Plans available, complete, and up to date in each home?		
Are you 100% confident that all employees working with Individuals within the next 7 days have completed and have documentation of training on each Individual's PCISP, BSP, Risk Plans, and medications?		
Do all employees have active CPR certifications?		
Are current drivers licenses and auto insurance on file for all employees who transport Individuals?		
Are background checks on file for all employees working with Individuals?		
Are all current licenses active and on file for all employees requiring them?		
Are copies of diplomas and transcripts on file for employees in positions which require a bachelor's or master's degree?		
Are negative TB tests on file for all employees prior to their working with Individuals?		
Are reportable incidents reviewed, analyzed, incident reduction plans developed with documentation on a monthly basis?		
Are medication errors reviewed, analyzed, and medication error deduction plans developed with documentation on a monthly basis?		