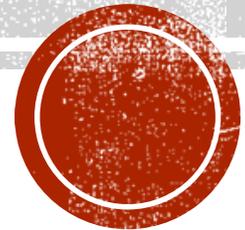


# INTERNAL AUDIT REVIEWS

Paul Baldwin

Erin Mace



# AUDIT 2016

- **Delayed Report after On-Site Audit**
- **CPMT Members wanted more feedback/technical assistant**
- **Didn't like the feel of being in reaction mode**

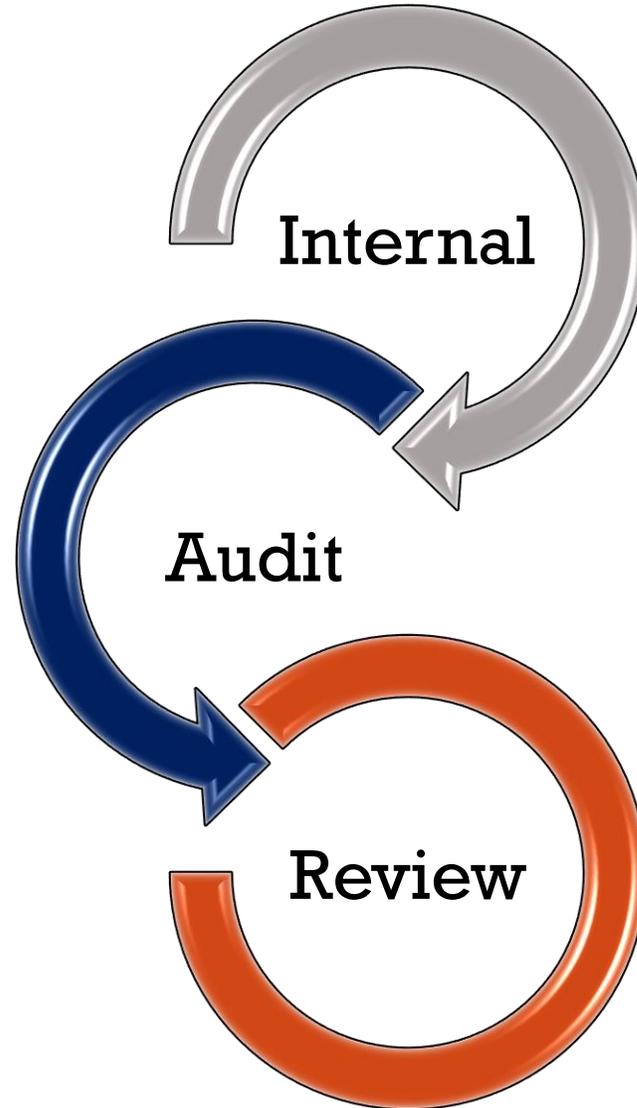


# RESPONSE

- Corrective action plan
- Create an Internal Audit Review process
- A commitment to get started and make improvements along the way



# LOGO



# WHO

- **2 CPMT Members**
  - At least one member has been licensed
  - Rotate each IAR
- **CSA Staff**
  - Available during audit
  - Document findings
  - Create IAR Report Summary



# WHAT

- **Assessments**
  - Fraud Risk
  - Internal Controls
  
- **Case File Review**
  - 1 Foster Care
  - 1 Community Based Services
  - 1 IEP for Private Day



# WHEN

- Quarterly (Kinda)

*“Blessed are the flexible, for they are seldom bent out of shape.”*



# WHERE

- **CSA Office Meeting Room**
- **Staff, Files and Contracts in central location**
- **Information and staff easily assessable throughout audit**



# HOW

- Use OCS Audit tools to perform Internal Audit Reviews of the local CSA Program
- Emailed assessments ahead of time for completion prior to auditing files



CSA Case Number: \_\_\_\_\_

Date: \_\_\_\_\_

<b>Required Information</b>	<b>Location</b>	<b>N/A - Notes</b>
Case Manager designation		
Authorization to Exchange Information		
Procedural Safeguards		
Completed and Signed CANs		
Parental Co-Pay assessed		
IFSP – FC Plan – IEP (circle)		
Desired Outcomes & Timeframes		
Identification of Services		
Recommended Level of Need		
FAPT or MDT Recommendations		
Parent/Guardian Participation & Consent to Service Plan		
CPMT Authorization		
Signed Vendor Contract		
Vendor Treatment Plan		
Vendor Progress Report		
Purchase of Service Order		
Utilization Review		
Updated Service Plan		



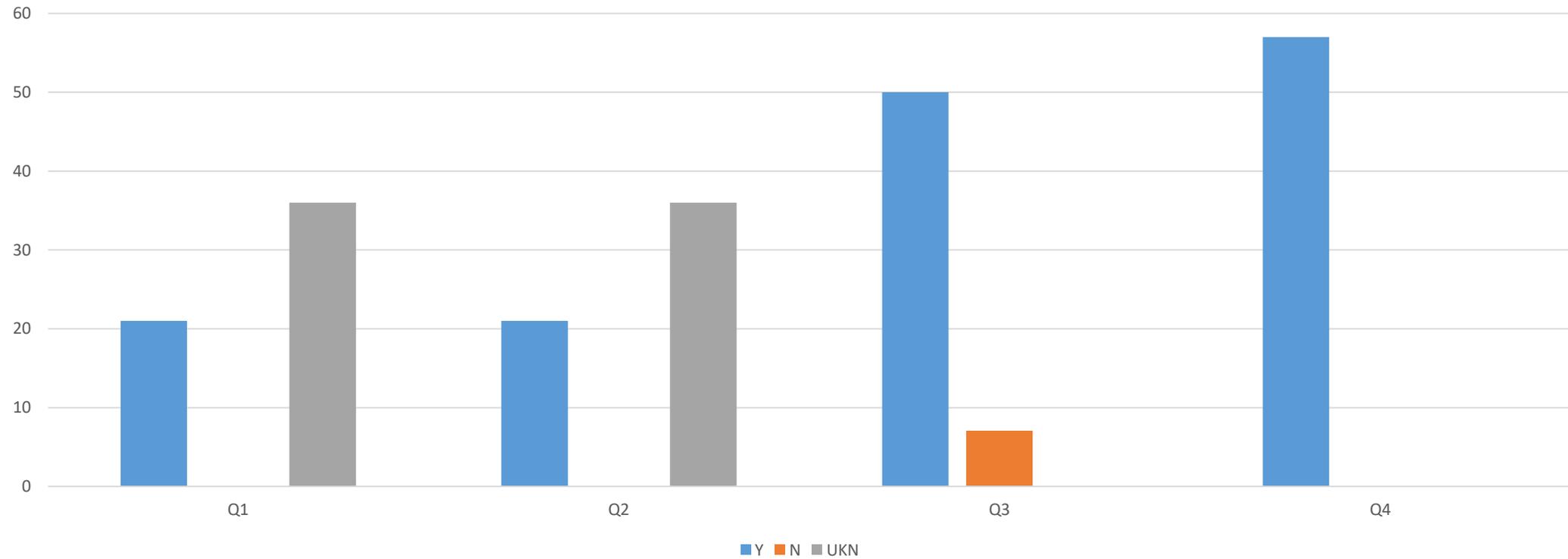
# WHY

- **The purpose of IAR's is to limit the opportunities for fraud, increase the accuracy of documentation, and reduce the likeliness of duplicate payments for services rendered.**
- **It is the goal of the Bedford County CPMT to improve the overall quality of care that youth and families receive and improve outcomes.**



# DATA

2018 Audit Results



# VICTORIES

- Individual Family Service Plans (IFSP) contained more detail than before
- New worker identified as not having CSA/FAPT training
- Whiteout used without initials of person making change
- Private Day/Public Day check box added to CSA referral form



# RISING TIDE

Internal Audit Reviews have increased engagement of CPMT  
Improved Knowledge and Understanding of Policy and Procedures  
Increased training opportunities for case managers  
Helped remove the stigma that comes with the word AUDIT

*“A rising tide raises all ships”*



# CONTINUOUS QUALITY IMPROVEMENT

- A commitment to improving the IAR process
- Quality Improvement as standing item on CPMT Agenda
- IAR findings and solutions shared at CSA annual training
- Information used in GAP Survey, Community Needs Assessment and Strategic Planning
- Use of different assessment tools for future IAR's



# QUESTIONS?

