**KENTUCKY SUPPORTS FOR COMMUNITY LIVING SERVICES**

**Checklist for Reviews**

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| **Agency** | **Date of Review** | **Team Leader** | **# of Participants Interviewed** | **Certification End Date** |
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| **Item** | | **Reviewed By** | **Date** |
| Program Audit Sample Form – SCL/MPW | |  |  |
| Policy/Procedures comply with regulations - *Regulatory Reference: Section 3* | |  |  |
| Written statement of mission and values - *Regulatory Reference: 3(3)(h)* | |  |  |
| Organizational Structure - *Regulatory Reference: 3(3)(e)2* | |  |  |
| Secretary of State’s Office, Good Standing - *Regulatory Reference: 3(2)(c)* <https://web.sos.ky.gov/ftsearch/> | |  |  |
| Final Rule Interviews submitted here by DDID Review Lead: [CMSFinalHCBRule@ky.gov](mailto:CMSFinalHCBRule@ky.gov) | |  |  |
| Infection Control Plan - *Regulatory Reference: 3(3)(bb)1* | |  |  |
| Evidence of continuous quality improvement (NCI) -*Regulatory Reference: 3(3)(e)6* | |  |  |
| Quality Improvement Plan (includes CAPs, SCL goals) -*Regulatory Reference: 3(3)(e)5* | |  |  |
| HRC/BIC Written Plan and Evidence of Participation -*Regulatory Reference: 3(3)(e)7* | |  |  |
| Emergency Drills, Quarterly - *Regulatory Reference: 3(3)(cc)4,5* | |  |  |
| Emergency Disaster Plan - *Regulatory Reference: 3(3)(cc)* | |  |  |
| Payee balances, Quarterly Statements - *Regulatory Reference: 3(3)(g)* | |  |  |
| Personnel/Training Checklist for Newly Hired Employees | |  |  |
| Personnel/Training Checklist for Long Term Employees | |  |  |
| Incident Reports (available in MWMA) | |  |  |
| Individual Records | |  |  |
| Lease agreements for participants (review at residential providers) | |  |  |
| Medication Error Log – *Regulatory Reference: 11(7)* | |  |  |
| Rights, description of - *Regulatory Reference: 3(3)(j)* | |  |  |
| Residential Roster (if applicable) | |  |  |
| Sanitary Conditions and Maintenance Policy - *Regulatory Reference: 3(3)(bb)2* | |  |  |
| Satisfaction - information re: participant satisfaction -*Regulatory Reference: 3(3)(e)4* | |  |  |
| Site Review – Home Visit(s) | |  |  |
| Site Review – Day Training Visit(s) | |  |  |
| Quality Assurances (Red Cap) completed here by DDID Review Lead: [Quality Assurances](https://redcap.uky.edu/redcap/surveys/?s=cxMIcqhKiM) | |  |  |
| Number of SCL Participants |  | Number of MPW Participants |  |