User Guide – How to Conduct an Audit

By: PCE Systems

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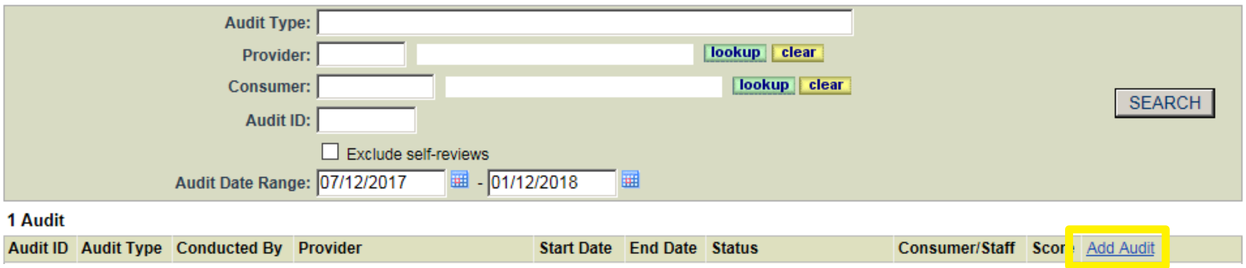
How to Conduct an Audit

The following steps will outline how to conduct an audit and manage provider responses.

This guide assumes audit instrument(s) have been created and are ready to use. If this is not the case, please contact your supervisor or refer to your agency's help guide on Creating an Audit.

- After logging in, click on the Auditing module
- Click on Provider Audits and the following screen appears:

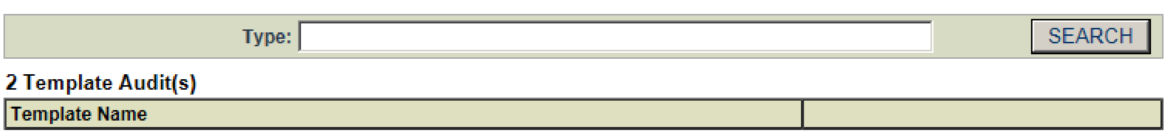


- The top portion of the screen is a filter to help you find an audit that was started or completed and the lower portion lists completed audits and drafts within the date range specified.

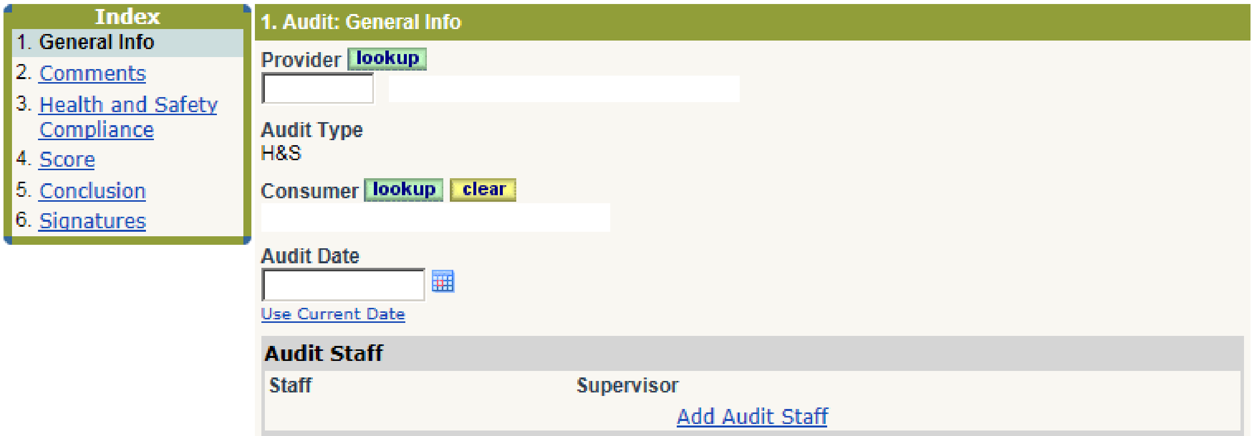
  Guide to using the filter to find a signed audit or draft:

  - Audit Type – type part of the name/title of the audit
  - Provider – click the lookup to search for and select the provider
  - Consumer – click the lookup to search for and select the Consumer referenced in the audit
  - Audit ID – each audit is assigned a unique number. Enter it here.
  - Exclude self-reviews – if you wish to omit audits of providers who conducted audits of themselves, place a checkmark in the box
  - Audit Date Range – your EMR defaults to the last six months; change as needed
  - Click SEARCH

- To begin a new audit using an existing model, click Add Audit (highlighted above) and the following screen will open:



- As needed, use a keyword in the search field above to find your template audit. Click Select on your choice and the following screen will display:



- The Index on the left will contain menu items that will be standard in every audit – General Info, Comments, Score, Conclusion and Signatures. Any customized audit section(s) have been placed centrally in the Index. Note: for a combined audit, you will see a menu item Audits which will display the referenced audits.
- You can now complete the audit. Using our example above, follow these general steps:

Index # 1 – General Info:

- **Provider** – add the provider's system ID or click the lookup to search for and select the provider being audited
- **Audit Type** – this is a read-only field displaying the audit you chose. If it is incorrect, click "Back" and select a different one
- **Consumer (if applicable)** – click the lookup and search for/select the person
- **Audit Date** – enter the date of the audit manually (e.g. 07/09/2018), use date icon or click Use Current Date link
- **Audit Staff** – enter the staff conducting the audit and check the box if they are a supervisor. Enter staff ID or click the lookup to search for and select the individual(s). Continue with Add Audit Staff until all audit staff are entered.
- Save your work.

Index #2 – Comments - enter audit comments as needed and save your work

Index #3 – Health and Safety Compliance – detail information in this section including clicking on Comments and Recommendations which open text boxes for data entry. Save your work.

Index #4 – Score – data will prepopulate based the completion of earlier sections

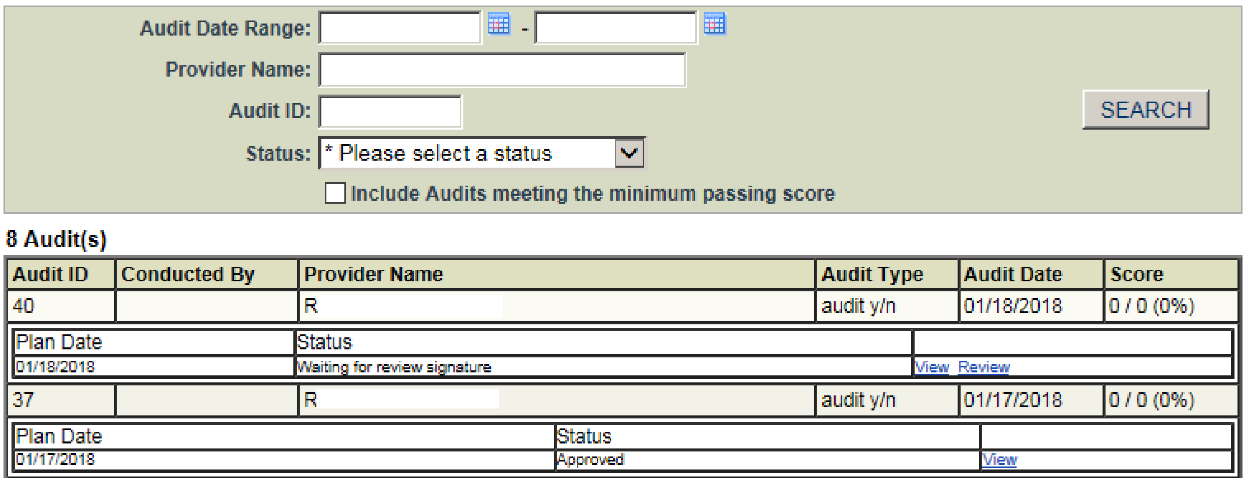
Index #5 – Conclusion – add a completion date and detailed information into Findings, Recommendations and Summary. Save your work.

Index #6 – Signatures - A field for your signature will appear if the audit contents have been completed; otherwise the EMR will display a message directing you to the areas you need to return to and complete. Only sign and save the document when you are certain it is complete and accurate. Please see your on-line Help guide for details on signing.

- Depending on the type of audit, once you have signed it, the audit will be forwarded to the provider to respond to and sign.
- Be sure to regularly click on Provider Responses in your auditing menu to determine if the provider responded as you will need to review and approve/deny the response (details below). If you would like an alert when a provider responds, please speak to your agency about having this feature added.

Managing Provider Responses

To view a provider's response, click Approve Provider Responses in your auditing menu and the following will display:



Audit ID	Conducted By	Provider Name	Audit Type	Audit Date	Score
40		R	audit y/n	01/18/2018	0 / 0 (0%)
Plan Date: 01/18/2018	Status: Waiting for review signature		View Review		
37		R	audit y/n	01/17/2018	0 / 0 (0%)
Plan Date: 01/17/2018	Status: Approved		View		

- Those records with a Review link need your attention. Click on the link and step through each item in the Index providing feedback and comments as needed. Save each screen and sign the document only when you are certain it is accurate and complete.

Other System Functions You May See (varies based on your authorities):

- Change – means the record can be edited. Click this link and make changes.
- View – clicking on this link presents a read-only display of the record
- Delete – (authorized staff only) click on this link followed by the delete verification in order to remove the record.
- Print – a two-step process which allows you to i) view a PDF of your document, and ii) forward the document to a local printer.
- 0 Attachments - click this to view a list of documents already uploaded/scanned to the audit, or to initiate a scan or upload. For details on how to do this, please click the help tab for an on-line help guide.
- Change Signed Document – this link will take you through the steps of modifying a document once it has been signed. Please refer to your EMR on-line help guide regarding signing and changing signed documents for more information.
- Document History – click this to view a list of all changes to a signed document.

- Review and Sign - click this if you or other staff need to sign the audit
- Provider Score Card – click this for a snapshot of audit results
- Provider Responses - click this to access the status of provider responses