Type of Audit	Program/Department	Sampling Method	Audit Schedule/	Estimated Audit
,, ,			Frequency	Population per Audit
		Dependant upon size		
Medicaid Fraud		of new hires each		
Checks - New Hires	Agency wide	cycle	Upon Hire	
Medicaid Fraud	, igonoj mas	-,	Open 1 m	
Checks - Existing				
Employees and		All employees and		
Vendors	Agency wide	vendors	Monthly	
	<u> </u>		Recommended -	
I-9	People Operations		Every 2 years	
SCIP - R	All staff working with	individuals		
CPR	Residential			
First Aid	Residential			
	Clinical Services,			
	Discovery Health			
	Clinic, Health	All posotions that		
Professional	Services,	require professional		
Licenses	Psychology; DNA	license	Monthly	
		A different house		
		every month - new		
Survey Files	Residential	hires within the year	Monthly	
NIVO I and in a Complete				
NYS Justice Center				
Criminal Background	Agency wide			
NOTE: This template	e is printed on 2 page	es for display. The te	emplate was electron	ically provided in Exc
	1 11 11 11 11 11 11 11 11 11 11 11 11 1			
			_	
-				

Estimated Annual	Sampling Size Per Audit	Actual Number Audits	Time Spent on Audit	Assigned Auditor
Sample Size		Completed	(cumulative)	
				Emely Santos
				01 5: 5 1
				Shann Rivera, Emely Santos, Thomas
				Little, Zariina Padu
			-	
el format.				
	1			

Findings Reported To	Risk Ranking	POCA Due Date	POCA Completion Date	POCA Follow-up
	3- High 2- Moderate			Monitoring
	1-Low			
CC				
СС				
CC				
CC				
Chief of PO				
Chief of PO Chief of PO				
Officer of 1 o				
Department Head				
1				
Chief of PO				
Criter of 1 O				
				<u> </u>
	i .	I.	1	i

Date Reported to	Date Reported to Board	Comments
Date Reported to Compliance Committee	Date Reported to Board	33million

Type of Audit	Program/Department	Sampling Method	Audit Schedule/ Frequency	Estimated Audit Population per Audit	Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed	Time Spent on Audit (cumulative)	Assigned Auditor
NOTE: This template	<mark>e is printed on 2 page</mark>	s for display. The ter	mplate was electronic	ally provided in Exce	l format.				

Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date	POCA Completion Date	POCA Follow-up Monitoring	Date Reported to Compliance Committee	Date Reported to Board	Comments

Type of Audit	Program/Department	Sampling Method	Audit Schedule/ Frequency	Estimated Audit Population per Audit	Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed	Time Spent on Audit (cumulative)	Assigned Auditor
NOTE: This Asserts		- familian lass Th			1.5				
NOTE: This templat	te is printed on 2 page	s for display. The ten	npiate was electronic	cally provided in Exce	i Tormat.				

Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date	POCA Completion Date	POCA Follow-up Monitoring	Date Reported to Compliance Committee	Date Reported to Board	Comments

Type of Audit	Program/Department	Sampling Method	Audit Schedule/ Frequency	Estimated Audit Population per Audit
Resident Funds	Compliance	random	2x/year	
NOTE: This templat	e is printed on 2 page	es for display. The to	emplate was electron	ically provided in Exc

Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed	Time Spent on Audit (cumulative)	Assigned Auditor
20% of purchases				
·				
			_	
el format.				

Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date	POCA Completion Date	POCA Follow-up Monitoring

Date Reported to Compliance Committee	Date Reported to Board	Comments

Type of Audit	Program/Department	Sampling Method
NP documentation and decision making	Medical	random per provider
Medical best practice documentation	Medical	random (based on best practice)
Clinical Documentation	Therapy / clinical	random peer review
Revenue Cycle management	Clinic Billing	random
Coding review	Clinic Billing	random
Locked encounters (completed notes)	Clinic Billing	Full unlocked list from schedule
Fire / emergency drills	Admin	
Environmental check	Admin	
Staff evaluations	Administrator / Supervisors	All
Productivity / schedule maintenance	Admin	random and targeted review
Lab receipt	Clinic Nursing	all unreconciled labs in ecw
PCMH quality measures	Admin	depends on measure
NOTE: This template is printed on 2 pa	ages for display. The templa	ate was electronically provided in F
pulse of pul		

Audit Schedule/ Frequency	Estimated Audit Population per Audit	Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed
quarter		120	10	
quarter		40	20	
quarter		40	10	
quarter		100		
quarter		100		
monthly				
quarter				
monthly				
yearly				
weekly				
weekly				
yearly				
xcel format.				

Time Spent on Audit (cumulative)	Assigned Auditor	Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low
	Medical Director	Clinic QI comitee meeting	
	Clinician	Clinic QI comitee meeting	
	Biller	Clinic QI comitee meeting	
	Biller	Clinic QI comitee meeting	
	Biller	Clinic QI comitee meeting	
	Administrator	Clinic QI comitee meeting	
	Adminsitrator	Clinic QI comitee meeting	
	Administrator	clincian and scheduler	
	Nurse	Clinician and lab	
	Administrator	NCQA	

POCA Due Date	POCA Completion Date	POCA Follow-up Monitoring	Date Reported to Compliance Committee	Date Reported to Board

• •	
Comments	

Type of Audit	Program/Department	Sampling Method	Audit Schedule/ Frequency	Estimated Audit Population per Audit
NOTE: This template	e is printed on 2 page	es for display. The te	mplate was electron	ically provided in Exc

Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed	Time Spent on Audit (cumulative)	Assigned Auditor
el format.				

Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date	POCA Completion Date	POCA Follow-up Monitoring

Date Reported to Compliance Committee	Date Reported to Board	Comments

Type of Audit	Program/Department	Sampling Method
Attendance (Student)	Education	
Student Progress Marks	Education	
Student Contractual Services	Education	
Student Bussing Assignments and locations	Education	
Attendance (Staff)	Education	
Teacher Report & Draft IEP completion by due date	Education	
Teacher/TA Completion of mandated monthly trainings	Education	
Teacher certification maintenance & CTLE Credit completion	Education	
Class Grouping (age & skills set)	Education	
CSE & Annual review scheduling	Education	
Parent communication	Education	
Teacher & TA Evals	Education	
Fire Drills	Education	
Safety Compliance Checklists	Education	
Lock Down Drills	Education	
LOCK DOWN DINIS	Education	
NOTE: This templete is printed on 2 percent and included. The	a tamplete was alsotu	aminally munyided the
NOTE: This template is printed on 2 pages for display. Th	e tempiate was electr	onically provided in

Audit Schedule/ Frequency	Estimated Audit Population per Audit	Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed
Excel format.				

Time Spent on Audit (cumulative)	Assigned Auditor	Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date

POCA Completion Date	POCA Follow-up Monitoring	Date Reported to Compliance Committee	Date Reported to Board

0	
Comments	

Type of Audit	Program/Department	Sampling Method
Staff Timesheet	Daycare	
New Student Paperwork	Daycare	
CPR Exp. Dates	Daycare	
Staff Evaluations	Daycare	
Attendance of children and staff	Daycare	
Staff training hours	Daycare	
Child transitions based on age	Daycare	
Child paperwork due every 6 months	Daycare	
Individualized healthcare plans every year	Daycare	
Allergy/Anaphylaxis Plan every year	Daycare	
Medication Administration Consent every 6 months.	Daycare	
Subsidy Hours	Daycare	
Fire Drills	Daycare	
Safety Compliance Checklists	Daycare	
Lock Down Drills	Daycare	
NOTE: This template is printed on 2 pages for dis	splay. The template w	vas electronically pro
_		
	1	l .

Audit Schedule/ Frequency	Estimated Audit Population per Audit	Estimated Annual Sample Size	Sampling Size Per Audit	Actual Number Audits Completed
vided in Excel forma	t.			

Time Spent on Audit (cumulative)	Assigned Auditor	Findings Reported To	Risk Ranking 3- High 2- Moderate 1-Low	POCA Due Date

POCA Completion Date	POCA Follow-up Monitoring	Date Reported to Compliance Committee	Date Reported to Board

0	
Comments	