Virtual Audit Toolkit

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What & Why?

What?

A virtual audit is a random selection process of choosing DSMES services to be audited. This allows the American Diabetes Association (ADA) Education Recognition Program (ERP) to verify a Recognized DSMES service was operating under the National Standards for Diabetes Self-Management and Support (DSMES) at the time of the most recent application and has continued to meet the National Standards during the current recognition period.

Why?

Medicare (CMS) requires the ADA to audit 5%, up to 70 recognized DSMES services annually. If the service refuses the audit, recognition will be withdrawn per CMS guidelines. CMS does not allow the audit dates to be negotiated.
When?

When are the virtual audit items required to be submitted to ERP?

If a service is chosen for an audit, the quality coordinator will be notified 10 business days prior to the documents shipping date. This allows the service to gather and send the required audit documents as well as address any questions or concerns with ERP staff. The lead auditor will contact the quality coordinator once the service has confirmed receipt of the audit notification to set up conference call time on audit date and answer any audit questions.
Virtual Audit Process

1. Log into the ERP Portal at [https://erp.diabetes.org](https://erp.diabetes.org)
2. Click on the DSMES Applications /ASRs/Audits tab
Virtual Audit Process

3. Scroll down to the Virtual Audits Section
4. Click on Open and Edit Virtual Audit
Virtual Audit Process

5. Complete the Verification Statement under Part 1
6. Verify the Site Information in Part 2

Note: Each section that is complete will have a green circle with a checkmark.
Virtual Audit Process

7. The **Part 3: Documentation** section will provide you with the option to upload or to fax the documentation required for the reporting period and the current operations. **Note:** The reporting period and current operations dates will be pre-populated for you.

As documents are uploaded or faxed you will need to check each of the red circles an X in the center to change them to green. All indicators must be green in order to submit the virtual audit.

**Note:** You can upload as many documents as you need to as long as each document is 5 MB or smaller.
Virtual Audit Process

Once Part 1, 2 & 3 have been successfully completed you will be provided with a link to submit the Virtual Audit for ADA review.
Virtual Audit Overview
The Two Periods of Audit Documentation

**Reporting Period**
The reporting period is based on the reporting period used by the DSMES service’s most recent renewal or original application. The reporting period can be found on your Audit Notification Letter.

Documentation reflecting that each standards’ indicators were in operation during the reporting period needs to be presented during the audit.

**Current Operations**
The current operations refers to the 6-month period prior to the audit date in relation to the complete participant DSMES charts (Std. 5) required for the audit. At least one element of the DSMES cycle (A-I) must have occurred during this 6-month period.

- For standards 1, 2, 4 and 6, the current period documentation must be from the past 12 months of the onsite audit date.
- For Standard 3, licenses and certifications must be current at the time of the audit date and 15 hours of CEU’s must be presented from the services last Recognition (anniversary) year.
**Quality Coordinator Guide (QCG) & Required Documentation**

**Did You Know?**

If your DSMES service is using the QCG and it is up to date with the required elements, your QCG will have all of the required documents for the audit **except for Standard 1 where you are now required to document how each stakeholder may provide input and/or advocacy**. Please complete the DSMES Service Team Tracker and include it in your desk audit documents.

Please identify the A-I elements to each participant chart. The DSMES Chart Review form on page 50 of the QCG can assist with this step.

If you are not using the QCG, please continue with this toolkit which will guide you through audit preparation and documentation presentation steps.
# Chart Audits per Multi-Site

<table>
<thead>
<tr>
<th>#Multi-Sites</th>
<th># Charts from current period and data period of each Multi-Site</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parent Site Included</td>
<td></td>
</tr>
<tr>
<td>1-2 Multi-Sites</td>
<td>5 Charts each period</td>
</tr>
<tr>
<td>3-4 Multi-Sites</td>
<td>3 Charts each period</td>
</tr>
<tr>
<td>5+ Multi-Sites</td>
<td>2 Charts each period</td>
</tr>
</tbody>
</table>
De-identified Participant Chart (Pg. 2 of 2)

Use sticky tabs to indicate each item (A, B, C etc.) of the education cycle in the de-identified participant chart. (See diagram on the right)

A complete chart should have a sticky tab for A through I.
Virtual Audit Documentation Checklist

• Submit a statement and picture of the place of concern poster location

• Use the Audit Documentation Checklist to ensure you have the required documents

• Upload each document in the appropriate section of the ERP portal

• Ensure that all documents include the date the activity occurred

The Quality Coordinator received this document after the program's most recent application.
Applications & Annual Status Reports

Services have access to previous Applications and Annual Status Reports through the Applications/ASRs tab of the ERP Portal. The Application/ASR can be printed by clicking on the magnifying glass next to the appropriate application.

The audit will require documentation to support the reported behavior goals and other participant outcomes reflected on the most recent Application and ASR.
Worksheets & Resources

*ERP has many resources but the top four listed below will be especially helpful for your audit preparation*

- **ERP Quality Coordinator Guide**
- **11th Edition Audit Checklist**
- **Participant Record/Chart Review Form**
- **Initial Comprehensive DSMES Cycle**

*Indicates the forms used by the audit team*
Frequently Asked Questions

Q: Is the Audit date negotiable?
A: The audit date is **NOT** negotiable per CMS guidelines.

Q: What if I refuse the audit?
A: Refusing the audit will result in the loss of your DSMES service’s ADA Recognition.

Q: When will I be notified of the audit outcome?
A: The DSMES service will receive notification of the audit outcome 30-45 business days after the audit date.