Required Documentation
Audit Documentation Checklist – Reporting Period

The audit team will require the following documentation from the Reporting Period of the most recent renewal or original application and from the Current Operation Period.

**Reporting Period:** From most Recent Application: ____/____/_______ to ____/____/____

☐ **Standards 1:**
  ▪ Documentation reflecting organizational support of the DSMES service within 12 months of the application submission.
  ▪ Documentation reflecting organization structure that includes the DSMES service.
  ▪ Documentation reflecting the DSMES service goals set within 12 months of the application submission and the review of the goals.

☐ **Standard 2:**
  ▪ Documentation reflecting the within 12 months prior to the online application submission.
  ▪ Advisory activity documentation reflects date, members and service input gained from the activity.

☐ **Standard 3:**
  ▪ Documentation reflecting population served and planned to serve assessment performed 12 months prior to the online application submission.
  ▪ Documentation reflecting evaluation of the DSMES service’s resources and assets and any gaps identified in meeting the needs of the population served and planned to serve performed 12 months prior to the online application submission.
  ▪ Documentation of the plan to address any gaps identified.

☐ **Standard 4 and 5**
  ▪ Completed DSMES Team Member List with reporting period and current staff listed.
  ▪ Licenses, CDR cards and CDE/BC-ADM certificates (if applicable) for all DSMES professional educators and the quality coordinator.
  ▪ For non-CDE/BC-ADM professional educators and quality coordinator documentation reflecting 15 hours of CEU’s the 12 months prior to the online application and each DSMES service year.

☐ **Standard 4:**
  ▪ The reporting period’s Quality Coordinator’s job description or evaluation tool reflecting the QC roles and responsibilities.
  ▪ The reporting period’s Quality Coordinator’s CV or resume.

☐ **Standard 5:**
  ▪ Completed DSMES Team Member List with reporting period and current staff listed.
  ▪ Documentation reflecting paraprofessional educators experience prior to joining the DSMES service.
  ▪ Documentation reflecting paraprofessional educators’ 15 hours of training the 12 months prior to the online application and each DSMES service year.
  ▪ Documentation reflecting paraprofessional educators’ competency in the areas taught the 12 months prior to the online application and each DSMES service year.
  ▪ DSMES service Out of Scope of Practice Policy.
Standard 6:
- The evidence based DSMES curriculum used during the reporting period and documentation of the curriculum or supporting material’s annual review/revision 12 months prior to the online application submission.

Standards 7, 8, and 9:
- At least 5 complete DSMES participant charts from each multi-site, reflecting the population served. Remove all participant identifiers from charts.
- At least one element of the DSMES cycle must have occurred within the Reporting period
  - Please indicate on each chart the location of the DSMES cycle elements (A through J). See Initial Comprehensive DSMES Cycle
  - Please Note: The number of required DSMES participant charts will vary if the DSMES service has 3 or more multi-sites. (See Chart Requirements on Page 8 of the Audit Toolkit).

Standard 10:
- Documentation reflecting a CQI Project, Plan & Outcomes (if not a new DSMES service) 12 months prior to the online application submission.

Audit Documentation Checklist – Current Operations

Note: The DSMES service recognition year is a 12 month period based on the date reflected on the recognition certificate.

Current DSMES service Recognition Year: ________________ to ________________.
Previous DSMES service Recognition Year: ________________ to ________________.

Standard 1:
- Documentation reflecting organizational support of the DSMES service for the current or previous DSMES service recognition year.
- Documentation reflecting the current organization structure that includes the DSMES service.
- Documentation reflecting the DSMES service goals set and reviewed during the current or previous DSMES service recognition year.

Standard 2:
- Documentation reflecting the advisory group activity for the current or previous DSMES service recognition year.
- Advisory activity documentation reflects date, members and service input gained from the activity.

Standard 3:
- Documentation reflecting population served and planned to serve assessment for the current or previous DSMES service recognition year.
- Documentation reflecting evaluation of the DSMES service’s resources and assets and any gaps identified in meeting the needs of the population served and planned to serve performed during the current or previous DSMES service recognition year.
- Documentation of the plan to address any gaps identified during the current or previous DSMES service recognition year.
Standard 4 and 5

- **Completed DSMES Team List**
  - Licenses, CDR cards and CDE/BC-ADM certificates (if applicable) for all DSMES professional educators and the quality coordinator
  - For non-CDE/BC-ADM professional educators and quality coordinator documentation reflecting 15 hours of CEU's during the current or previous DSMES service recognition year.

Standard 4:

- The current Quality Coordinator’s job description or evaluation tool reflecting the QC roles and responsibilities.
- The current period’s Quality Coordinator’s CV or resume.

Standard 5:

- Documentation reflecting paraprofessional educators experience prior to joining the DSMES service.
- Documentation reflecting paraprofessional educators’ 15 hours of training for the current or previous DSMES service recognition year.
- Documentation reflecting paraprofessional educators’ competency in the areas taught during the current or previous DSMES service recognition year.
- DSMES service Out of Scope of Practice Policy.

Standard 6:

- The evidence based DSMES curriculum currently in use and documentation of the curriculum or supporting material’s review/revision during the current or previous DSMES service recognition year.

Standards 7, 8, and 9:

- At least 5 complete DSMES participant charts from each multi-site, reflecting the population served. Remove all participant identifiers from charts.
- At least one element of the DSMES cycle must have occurred within the 6 months prior to audit date.
  - Please indicate on each chart the location of the DSMES cycle elements (A through J). See [Initial Comprehensive DSMES Cycle](#).
  - **Please Note:** The number of required DSMES participant charts will vary if the DSMES service has 3 or more multi-sites. (See Chart Requirements on Page 8 of the Audit Toolkit).

Standard 10:

- Documentation reflecting a [CQI Project, Plan & Outcomes](#) for the current or previous DSMES service recognition year.