

Virtual Audit Toolkit

Contents

- **Virtual Audit: What, When, & Why?** (Pg. 2-3)
- **Virtual Audit Process** (Pg. 4-8)
- **Virtual Audit Overview** (Pg. 9)
- **Quality Coordinator Guide** (Pg. 10)
- **De-identified DSMES Participant Chart Requirements** (Pg. 11,12)
- **Virtual Audit Documentation Checklist** (Pg. 13)
- **Locating Your Reporting Period**(Pg. 14)
- **Auditor Worksheets and Resources** (Pg. 15)
- **Frequently Asked Questions** (Pg. 16)

What & Why?

What?

Virtual audit services are determined by 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 If the service refuses the audit, Recognition will be withdrawn per CMS guidelines.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 (QC) will be notified **10 business** days prior to the date that the audit documents must be uploaded into the ERP portal or emailed or e-faxed to the ADA. 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 QC once the service has confirmed receipt of the audit notification to establish the opening and exit conference platform and time for the audit day and answer any audit questions.

Virtual Audit Process

1. Log into the ERP Portal at <https://erp.diabetes.org>
2. Click on the DSMES Applications /ASRs/Audits tab

The screenshot displays the American Diabetes Association ERP portal interface. The top navigation bar includes the logo, 'Legal Agreements', and 'ADA I'. The main navigation tabs are 'Program', 'DSMES Applications / ASRs / Audits' (highlighted with a red box), 'DPPE Payments', and 'Reports'. The left sidebar contains a menu with categories: 'Program Information', 'DSMES', 'DPPE', and 'WCIE', each with sub-items like 'Site(s) Information' and 'Diabetes'. The main content area is titled 'ERP DSME PROGRAM' and shows 'Program Information' for 'ERP DSME PROGRAM'. It includes fields for 'Sponsoring Organization' (with an 'Edit' button), 'Program ID: 005947', 'URL: www.diabetes.org', 'Administrative Officer Name: John Doe MD Steven Burdette MD', 'Street 1: 1701 North Beauregard St', 'Street 2: asdfsadf', 'City: Alexandria', 'State: VA', 'Postal Code: 22311', 'Phone: 703.549.1500', 'Fax: No value', and 'Email: No value'. Below this is a 'Program Access' table:

Program Access	Yes/No
ERP Program	Yes
Distance Education Program	No
DPPE Program	Yes
Program has Grant Access	No
Program has Import Access	No
WCIE Program	No
Enable Password Expiration	No

On the right side, there are sections for 'DSMES Program Recognition', 'DPP Express Program Dates', 'CDC Recognition Information', 'Medicare DPP Supplier Informa', and 'WCIE Program Dates', each with various fields and labels.

Virtual Audit Process

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

	Passed Review on Jan 26, 2012	ASR Auto-Passed
	Passed Review on Jan 4, 2012	ASR Auto-Passed

Renewal Application

There is currently an active Renewal Application for your program that ADA has returned to you so that you can make updates to the application. Note that when an application has been returned to you, it becomes unlocked and you're able to make edits to it. You can open and edit this application by clicking the Open and Edit Renewal Application link to the right.

 [Open and Edit Renewal Application](#)
Returned to Program for updates on Sep 27, 2019

Below is a list of all of the existing Renewal Applications that have ever been added to your program. If an application has a magnifying glass next to it, that means that the application is locked and you can click the magnifying glass to view (but not edit) the application. If an application has a pencil next to it, that means that the application is unlocked and you can click the pencil to view, edit, and eventually submit the application.

Previous Renewal Applications

Status	Note
 Passed Review on Sep 25, 2013	
 Passed Review on May 29, 2013	

Virtual Audits

There is currently an active Virtual Audit for your program. This virtual audit has not yet been submitted to ADA for review. If all of the information for this virtual audit has been completed, you can open the virtual audit and submit it to ADA for review. Otherwise, if there is still information that needs to be completed, you can open this virtual audit and complete this information. In either case, click the link to the right to open the active Virtual Audit.

 [Open and Edit Virtual Audit](#)
Started on Oct 6, 2020

Virtual Audit Process

Note: Each section that is complete will have a green circle with a checkmark

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

Virtual Audit Application (Started on Oct 6, 2020)

PREVIOUS: *None* NEXT: [Virtual Audit Information](#)

Virtual Audit Summary

Virtual Audit Status: Started on Oct 6, 2020

This Virtual Audit is incomplete. The rows in the table below list the various pages of the Virtual Audit. Each page's row has an icon indicating completeness- a yellow exclamation point (indicating that there is missing information on that page), a green checkmark (indicating that complete on that page), or a blue circle (indicating the information on that page is optional). Refer to the icon key at left for reference. To reach a required page, begin by clicking on the page's row. Alternatively, you can click the *Next* button above to move to the first page of this Virtual Audit. You can return to this Virtual Audit Summary page at any time by clicking the *Return to Summary Page* button on the left.

Note that as you enter information into the pages, everything is automatically saved. After you have completed all of the pages, all of the pages will have green check marks (or blue circles) and you'll be able to submit this Virtual Audit to ADA.

Part 1: General Information	Part 3: Documentation
 Verification Statement	 Audit Submission - Reporting Period
Part 2: Site Information	 Audit Submission - Current Operations
 (Primary / Main Site) Diabetes Self-Management Education Program11 Profile	

Virtual Audit Process

7. The **Part 3: Documentation** section will provide you with the option to upload or to email or e-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, emailed, or e-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 no more than 5 MB.

Jun 4, 2013 and Jul 17, 2013

You need to upload or fax the following documents for the Reporting Period. These items can be uploaded into this form by clicking the Upload Document button. This will open a window where you can choose the file to upload. You can upload more than one document under each category. Alternatively, you can indicate that you'll be faxing the documents to ADA by clicking the Fax Document button. Any document that you fax must be received in the office by 8AM the business day prior to the audit date. Fax documents to: 703-991-9120

As you upload documents you need to check off items from the list below each standard. This checklist is part of what is used to indicate that all of the correct documents are uploaded. There must also be at least one upload per section.

To check off an item click on . If you make a mistake and need to uncheck an item simply click on  to set it back to .

Standard 1

-  Documentation reflecting organizational support of the DSMES service within 12 months of the most recent renewal or original application submission.
-  Documentation reflecting organization structure that includes the DSMES service.
-  Documentation reflecting the DSMES service goals set within 12 months of the most recent renewal or original application submission and the review of the goals.
-  Documentation reflecting DSMES service mission statement.

Standard 1   Upload Document  Fax Document

Date Submitted	Method	Document Description	
Oct 6, 2020	Fax	Standard 1 documents	 Remove Document

Standard 2

-  Documentation reflecting advisory activity within 12 months prior to the most recent renewal or original application submission.
-  Advisory activity documentation reflects date, members and service input gained from the activity.

Standard 2   Upload Document  Fax Document

No documents of this type uploaded. Click the green plus button to upload a document.

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.

PREVIOUS: *None* NEXT: [Virtual Audit Information](#)

Virtual Audit Summary

Virtual Audit Status: Started on Oct 6, 2020

All of the pages of this Virtual Audit are complete, as indicated by the green checkmarks in each row in the table below. Since the entire Virtual Audit is complete, this means that you can submit this Virtual Audit to ADA for review. Before you submit it, please ensure that all of the questions are accurately and completely. Once you submit this Virtual Audit, it will become locked and you will no longer be able to edit it. You will then wait for review of the Virtual Audit and follow up with you if more information is required.

[Click here to submit this Virtual Audit to ADA for review.](#)

Part 1: General Information	Part 3: Documentation
<input checked="" type="checkbox"/> Verification Statement	<input checked="" type="checkbox"/> Audit Submission - Reporting Period
Part 2: Site Information	<input checked="" type="checkbox"/> Audit Submission - Current Operations
<input checked="" type="checkbox"/> (Primary / Main Site) Diabetes Self-Management Education Program11 Profile	

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. 7,8,9) required for the audit. At least one element of the DSMES cycle (A-J) must have occurred during this 6 month period.

For standards 1-6 and 10 the current period documentation must be from the past 12 months of the onsite audit date.

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 the team member list. Please complete the [team member list](#) and include it in your desk audit documents.

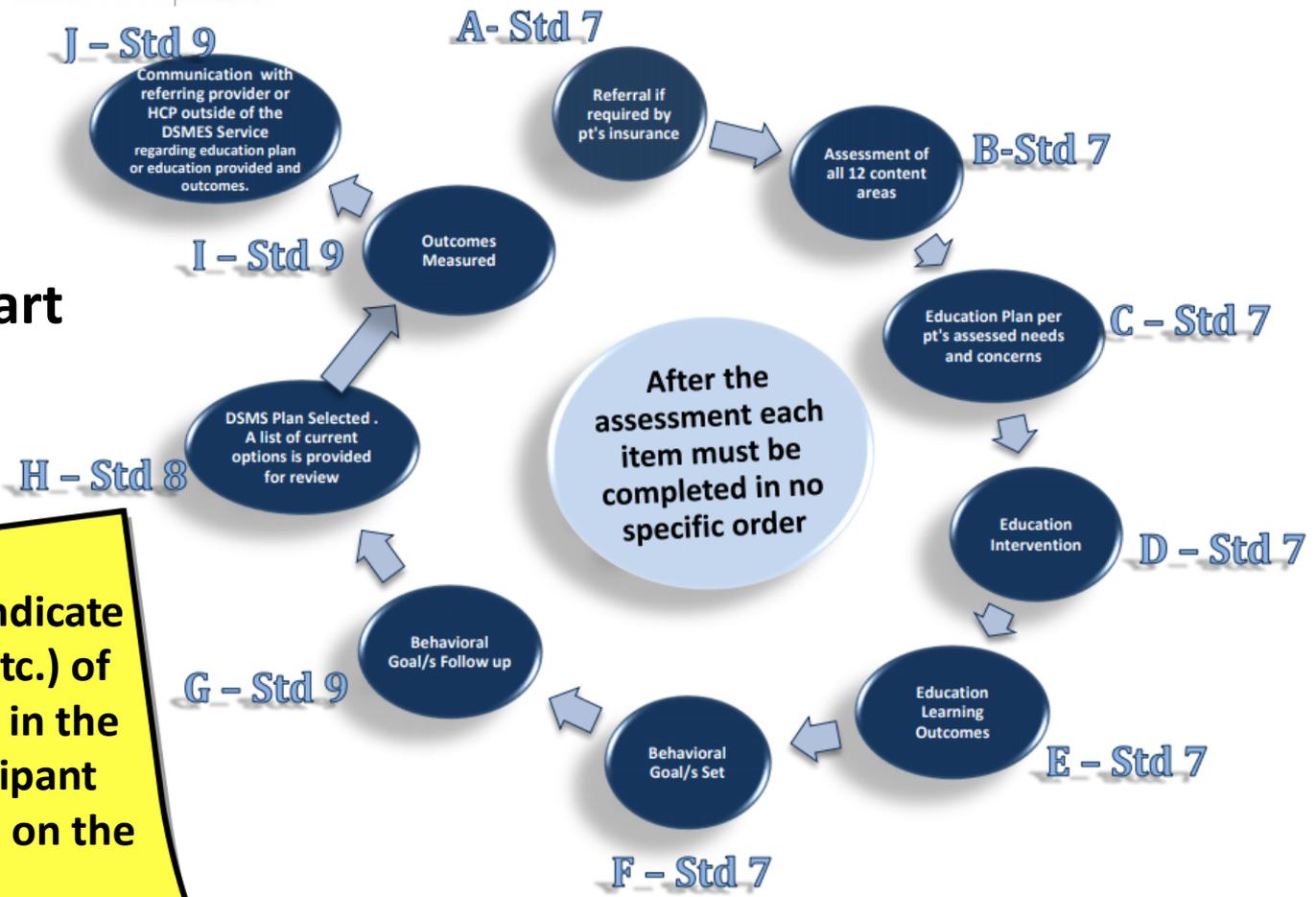
If the QCG does not have the actual complete DSMES charts indicated on page 49 of the QCG, please add the charts with each element (A-J) identified. The DSMES Chart Review form on page 50 of the QCG can assist with this step.

If you are not using the [QCG](#), please continue with this toolkit which will guide you through audit preparation and documentation presentation steps.

De-Identified Participant Charts (Pg. 1 of 2)

Chart Audits per Multi-Site

#Multi-Sites	# Charts from current period and data period of each Multi-Site
Parent Site Included	
1-2 Multi-Sites	5 Charts each period
3-4 Multi-Sites	3 Charts each period
5+ Multi-Sites	2 Charts each period



De-identified Participant Chart

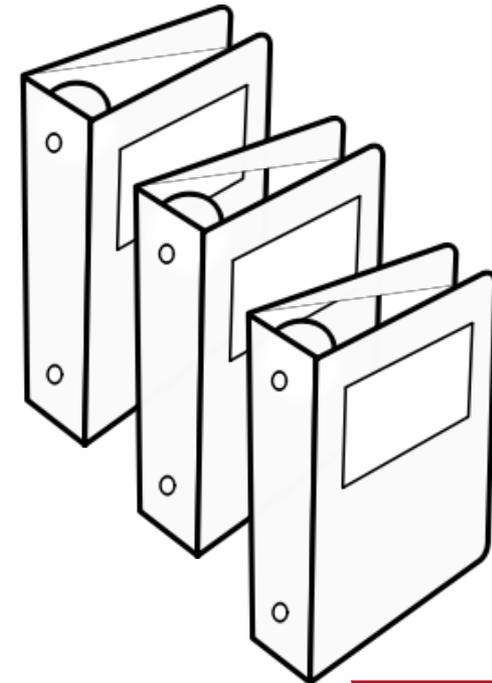
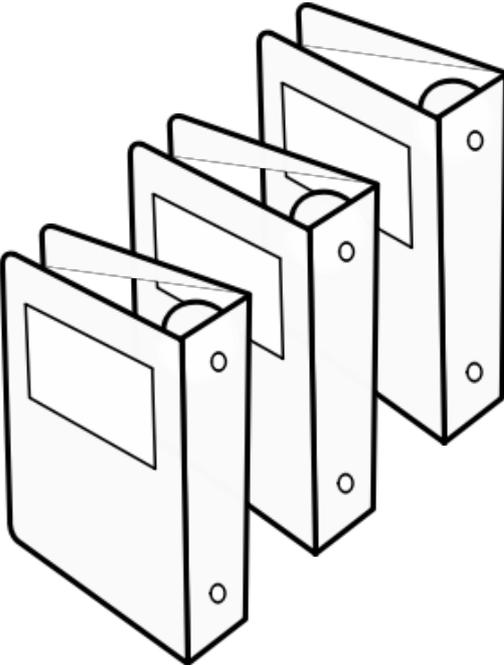
(Pg. 2 of 2)

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 J.

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, email or e-fax the documents to ADA
- **Ensure that all documents include the date the activity occurred**



Locating Your Reporting Period

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.

Legal Agreements ADA Legal Policies

Program Applications / ASRs Reports

Applications / ASRs List

An Annual Status Report (ASR) is required to be complete every year. You will be notified by email that you can complete your ASR. You will be able to complete and submit your ASRs when prompted by ERP in advance of when it is due; plus review ASRs submitted during this new system.

Below is a list of all of the existing ASRs that have ever been added to your program. If an ASR has a magnifying glass next to it, that means that the ASR is locked and you can click the magnifying glass to view (but not edit) the ASR. If an ASR has a pencil next to it, that means that the ASR is unlocked and you can click the pencil to view, edit, and eventually submit the ASR.

Previous Annual Status Reports

Status	Note
Passed Review on Nov 13, 2014	ASR Auto-Passed

Worksheets & Resources

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

- [ERP Quality Coordinator Guide – 2017 Standards Edition](#)
- [*10th Edition Review Criteria, Indicators and Audit Summary](#)
- [*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.