

Documents Needed to Facilitate a Comprehensive Audit		
Needed Documents	Time Frame	Applicable Facilities
Organizational Chart	Current	All Facilities
Credentialing Files	Current Mental Health Counselors, Behavior Specialist, Activity Therapist, Mental Health Nurses, Secretaries/Clerks, Licensed Master's Clinicians, Psychiatrist, Psychologist, CNS, Unit Director	All Facilities
Privileging Files	Current Mental Health Counselors and Behavior Specialists	All Facilities
Minutes of Mental Health Staff Meetings	Since last audit to present time	All Facilities
On-call roster for the Mental Health Duty Officer	Current	All Facilities
On-call Logbook	Current	All Facilities
Consultation/Supervision Files	Current Mental Health Counselors, Behavior Specialists, Mental Health Nurses, Activity Therapist	All Facilities
Training Records	Current Correctional Officers assigned to work Supportive Living Units, Crisis Stabilization Units and/or Acute Care Units	All Facilities with Supportive Living Units, Crisis Stabilization Units and/or Acute Care Units
Training Records to include: Mental Health Training Ethics Training and In-Service Training	Current Mental Health Counselors and Behavior Specialist	All Facilities
Mental Health Caseload Summary	Current	All Facilities
Mental Health Caseload Summary by Counselor	Current	All Facilities
Mental Health Offenders by Diagnosis and Level of Care	Current	All Facilities
Psychiatrists and Clinical Nurse Specialists Schedules	Eight (8) weeks preceding the audit	All Facilities
Psychologist Schedules	Eight (8) weeks preceding the audit	All Facilities
Treatment/Habilitation Plan Tickler Report	Current and the month preceding the audit	All Facilities
Daily Lock-Down (Isolation/Segregation) Report	Current and the month preceding the audit	All Facilities
Logs:		
Referrals	Since last audit to present time	All Facilities
Records Request	Since last audit to present time	All Facilities
Parole	Since last audit to present time	All Facilities
Isolation/Segregation Rounds	Since last audit to present time	All Facilities
Sexual Allegation	Since last audit to present time	All Facilities
Involuntary Medication Hearings	Since last audit to present time	Level III/IV/V Facilities
Discharge	Since last audit to present time	All Facilities
Transfer	Since last audit to present time	All Facilities
Crisis Stabilization	Since last audit to present time	Facilities with Crisis Stabilization Units
Acute Care	Since last audit to present time	Facilities with Acute Care Units
Diagnostic Referral	Since last audit to present time	Diagnostic Facilities and PDC's
Observation Cell	Since last audit to present time	Facilities with 2 nd Tier Cells
1 st Tier Isolation/Segregation Cell	Since last audit to present time	All Facilities

Documents needed to Facilitate a Comprehensive Audit Page Two		
Needed Documents	Time Frame	Applicable Facilities
SP2 Log	Since last audit to present time	All Facilities
SP1 Log	Since last audit to present time	All Facilities
Activity Therapy Group Log	Since last audit to present time	Level III and above Facilities
Physical Inventory Log (Mental Health Records)	Since last audit to present time	All Facilities
CQI Studies Schedule	Current	All Facilities
CQI Meeting Minutes	Since last audit to present time	All Facilities
Group Rosters	Current	All Facilities
Group printout(s)	Current	All Facilities
Group Attendance Logs	Current	All Facilities
List of Mental Health Offenders by name who have been non-adherent with medication	Current and month preceding the audit	All Facilities
Sexual Allegation Reports	Since last audit to present time	All Facilities
Parole Evaluations	Since last audit to present time	All Facilities
Certificate of Approval	Current	All Facilities with observation or ACU/CSU cells
Monthly Report	Current	All Facilities
Self-Audit	Current	All Facilities
CQI Studies and Schedule	For past calendar year	All Facilities
Copies of entries made by Mental Health Staff in SLU/CSU/ACU log	Twelve weeks preceding the audit	All Facilities with Supportive Living Units, Crisis Stabilization Units, and/or Acute Care Units
Re-Entry Forms	Since last audit to present time	All Facilities
Non-Adherence Status	Since last audit to present time	All Facilities
List of offenders on the following medications from the pharmacist: Antipsychotic Medication Tricyclic Antidepressants Tegretol Lithium Valproic Acid Benzodiazepines	Current	All Facilities
Medical files of offenders on the following medications: Antipsychotic Medication Tricyclic Antidepressants Tegretol Lithium Valproic Acid Benzodiazepines	Current	All Facilities

Individual Clinical and Medical files will be requested at the time of the audit. Other documentation (not listed above) is subject to be requested for review.