



# Compliance Survey

<p><b>Service Determination Requests</b></p>	<p><b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant</p>
<p>Did the PO appropriately process service determination requests, appeals, and grievances? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 9)</p>	
<p>Did the PO appropriately notify participants and/or their designated representatives of any decision relating to a service determination request, appeal, or grievance? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 10)</p>	
<p>Did the PO process service determination requests and appeals within required timeframes and take appropriate extensions? (Refer to Audit Protocol Compliance Standard Section 3.3 pg. 10)</p>	
<p>Did the PO effectuate/provide approved services as expeditiously as the participant's condition required? (Refer to Audit Protocol Compliance Standard Section 3.4 pg. 11)</p>	
<p><b>Appeals</b></p>	<p><b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant</p>
<p>Did the PO appropriately process service determination requests, appeals, and grievances? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 9)</p>	
<p>Did the PO appropriately notify participants and/or their designated representatives of any decision relating to a service determination request, appeal, or grievance? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 10)</p>	
<p>Did the PO process service determination requests and appeals within required timeframes and take appropriate extensions? (Refer to Audit Protocol Compliance Standard Section 3.3 pg. 10)</p>	
<p>Did the PO effectuate/provide approved services as expeditiously as the participant's condition required? (Refer to Audit Protocol Compliance Standard Section 3.4 pg. 11)</p>	
<p><b>Grievances</b></p>	<p><b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant</p>
<p>Did the PO appropriately process service determination requests, appeals, and grievances? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 9)</p>	
<p>Did the PO appropriately notify participants and/or their designated representatives of any decision relating to a service determination request, appeal, or grievance? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 10)</p>	
<p>Did the PO maintain a complete, accurate, and accessible medical record? (Refer to Audit Protocol Compliance Standard Section 3.4 pg. 15)</p>	



<b>Provision of Services</b>	<b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant
Did the PO furnish comprehensive services necessary to meet the needs of all participants? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 14)	
Did the PO ensure that the IDT was appropriately involved in participant care? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 15)	
Did the PO perform assessments as required? (Refer to Audit Protocol Compliance Standard Section 3.3 pg. 15)	
Did the PO maintain a complete, accurate, and accessible medical record? (Refer to Audit Protocol Compliance Standard Section 3.4 pg. 15)	
Did the PO develop and document an appropriate care plan for the participants? (Refer to Audit Protocol Compliance Standard Section 3.5 pg. 15)	
Did the PO provide care and services necessary to meet the medical, physical, emotional, and social needs of each participant? (Refer to Audit Protocol Compliance Standard Section 3.6 pg. 16)	
Did the PO follow appropriate infection control standards when providing care? (Refer to Audit Protocol Compliance Standard Section 3.7 pg. 16)	
<b>Personnel</b>	<b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant
Did the PO conduct a background check on all personnel prior to their date of hire? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 17)	
Did the PO conduct an OIG exclusion check for all personnel prior to their date of hire? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 17)	
Did the PO ensure that personnel were appropriately licensed, if applicable? (Refer to Audit Protocol Compliance Standard Section 3.3 pg. 17)	
Did the PO ensure that all personnel with direct participant contact were medically cleared of communicable diseases before engaging in direct participant contact? (Refer to Audit Protocol Compliance Standard Section 3.4 pg. 17)	
Did the PO ensure that personnel completed competencies before working independently? (Refer to Audit Protocol Compliance Standard Section 3.5 pg. 17)	
<b>Compliance and Quality Improvement</b>	<b>Score 1 to 5</b> 5 = fully compliant 1 = noncompliant
Did the PO adopt and implement an effective compliance oversight program? (Refer to Audit Protocol Compliance Standard Section 3.1 pg. 18)	
Did the PO develop and implement an effective, data-driven quality improvement program? (Refer to Audit Protocol Compliance Standard Section 3.2 pg. 19)	
Did the PO ensure that the appropriate personnel were involved in the development and implementation of Quality Improvement activities and did the PO appropriately disseminate information related to the Quality Improvement activities? (Refer to Audit Protocol Compliance Standard Section 3.3 pg. 19)	



Connect with a PACE compliance expert for more info, resources, or a conversation.

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