



Date: July 10, 2023

Topic: Day Habilitation Certification Audit Process

The Provider Performance and Monitoring Unit (PPMU) within the Division of Developmental Disabilities conducts routine Day Habilitation Certification Audits. Audits occur on a rolling basis based on previous certification expiration. Certifications remain in effect until the next provider audit.

Providers are notified at least 30 days in advance of their scheduled audit, provided a copy of the current audit tool, and their PPMU contact. The current audit tool can be found [here](#) so providers are aware of the metrics used for evaluation. Providers are strongly encouraged to utilize the tool to conduct a self-assessment of current compliance and remediate outstanding issues on an ongoing basis, as well as prior to their scheduled audit.

To streamline the Personnel and Individual Record review portion of the process, providers will be required to submit their current roster for both employees and individuals receiving services to their assigned PPMU contact at least two weeks prior to the audit date. Audits will consist of 10% sample (or at least 3 individual and staff records) and include the review of areas such as employee vetting, billing documentation, service delivery notes and attendance. Questions regarding this requirement may be directed to the assigned PPMU contact.

Information related to the certification process can be found in Section 17.6.3.1.2 of the [Community Care Program Manual](#) and 17.7.3.1.2 of the [Supports Program Manual](#).

Ongoing Certification

Upon expiration of the Day Habilitation Certification, an audit of the provider's Day Habilitation services will be conducted in order to determine ongoing certification. Audits will be conducted for all sites operated by each provider. Providers will receive a day habilitation certification based on the lowest score obtained through the auditing process. Certifications are issued as follows:

- 5-Year Certification – All sites obtain compliance scores of 86% and above in both critical and significant standards.
- 3-Year Certification – One or more sites obtain compliance scores between 70% and 85% in critical and/or significant standards.
- Conditional Certification – One or more sites receive compliance scores of 69% or below in critical and/or significant standards.