

Medication Management Self-Audit Tool

Record Review and Observation Resource

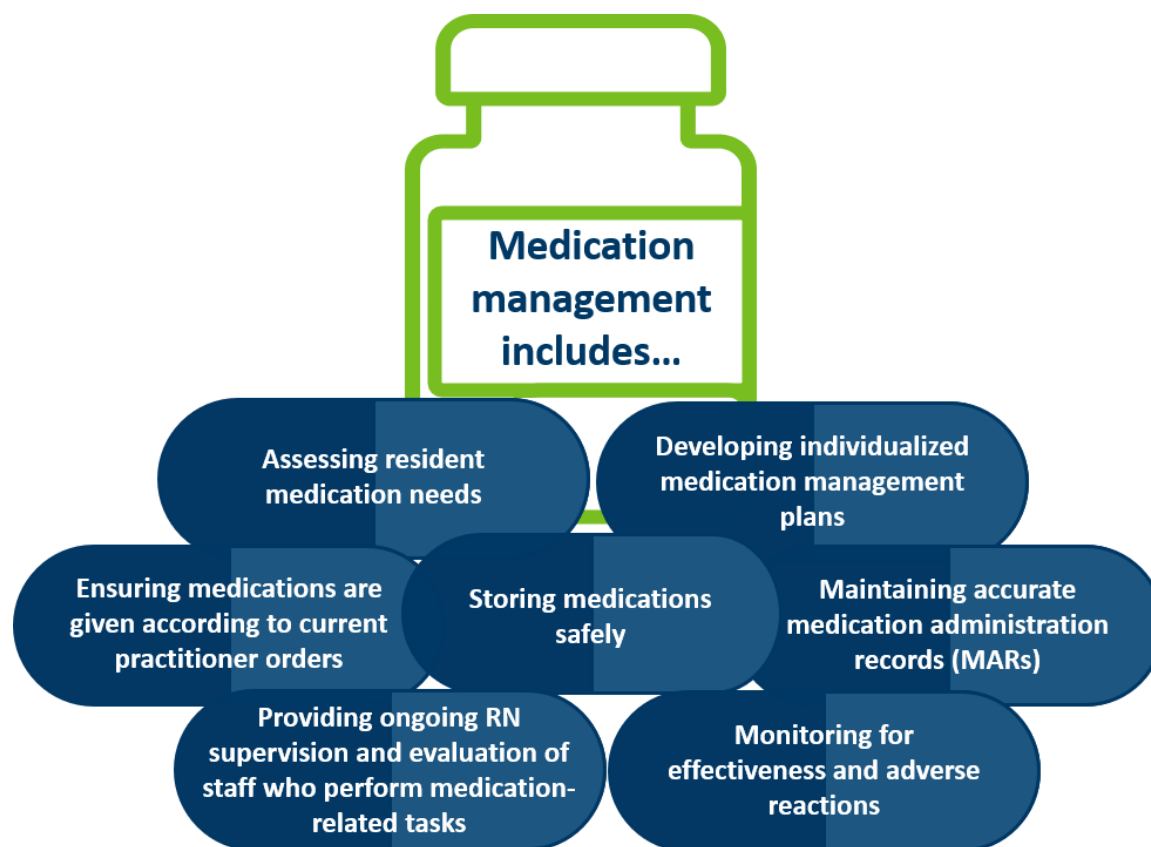
Purpose

Medication management is a regulated service that helps individuals served use medications safely and as prescribed. It includes assessing medication needs, developing an individualized medication management plan, following prescriber orders, administering or assisting with medications as authorized, maintaining accurate records, monitoring for concerns, and providing appropriate clinical oversight.

Minnesota regulations include specific requirements for medication management, including assessment, planning, medication administration, delegation to unlicensed personnel, documentation, medication storage, medication security, medication disposition, and management of medications when individuals served are away from home or the facility. These requirements are found in [Minnesota Statute §144A.4792 \(Home Care\)](#) and [Minnesota Statute §144G.71 \(Assisted Living\)](#).

Because medication management directly affects health and safety, the Minnesota Department of Health (MDH) reviews medication management records, documentation, storage practices, and related activities during surveys. Common survey findings include incomplete assessments, outdated medication management records, medication order discrepancies, medication reconciliation issues, incomplete documentation, medication administration errors, and medication storage or security concerns.

Regular self-audits can help providers identify opportunities for improvement, strengthen the safety of individuals served, and improve survey readiness.



Instructions for Use

This self-audit tool is designed to help providers review medication management records, documentation, and observable medication management practices for compliance with Minnesota medication management requirements.

The tool includes record review, documentation review, and observation-based audit items. Some sections focus on client or resident records, while others evaluate medication administration, storage, security, and related practices. Audit items may apply differently depending on whether the provider is licensed as home care or assisted living.

Review each audit item and select the response that best reflects your findings. Use the Notes column to document observations, concerns, corrective actions, and follow-up activities.

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How to rate each item:

- **Compliant:** Select this rating when the requirement is fully met and supporting evidence is available.
- **Needs Attention:** Select this rating when the requirement is not met or only partially met or when required documentation or evidence cannot be produced. Use the Notes section to describe the issue and any corrective actions needed.
- **Not Applicable:** Select this rating when the requirement does not apply to the provider, service, process, or situation being reviewed.

Because deficiencies related to medication management can affect the health and safety of individuals served and may result in survey citations, providers should ensure that medication assessments, medication orders, clinical oversight, delegation, medication administration, medication storage, medication security, and required documentation are consistently maintained.

Note: This self-audit tool is intended as a resource to support compliance and quality improvement. It does not replace a provider's responsibility to comply with all applicable state and federal laws, regulations, and licensing requirements.

Individual Record Review - Medication Assessment, Monitoring, and Reassessment

Review the individual's record to verify required assessments, reassessments, monitoring activities, and related documentation are complete, current, and consistent with medication management services provided.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
An initial medication assessment was completed before medication management services began.				
The assessment identifies the resident's ability to self-administer medications, when applicable (assisted living).				
The assessment addresses the risk of medication diversion for the individual served.				
Medication management services provided are consistent with assessment findings.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
An annual medication reassessment has been completed.				
A reassessment was completed when medication-related concerns arose.				
Any refusal of a medication assessment or reassessment is documented.				
The consequences of refusing the assessment or reassessment are documented and discussed with the individual served.				

Individual Record Review - Individualized Medication Management Record



High-Risk Survey Area

Deficiencies in this area are commonly cited during surveys and may affect health and safety of individuals served. Review carefully.

Review the individual's record to verify the individualized medication management record is complete, current, and consistent with assessment findings.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
The individual served has an individualized medication management plan or medication management record.				
The individualized medication management plan is included in the service plan.				
The plan specifies the medication management services to be provided.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
The plan describes how medications will be stored based on the needs and preferences of the individual served, risk of diversion, and manufacturer instructions.				
The plan includes individual-specific medication administration instructions.				
The plan identifies who is responsible for monitoring medication supplies and obtaining timely refills.				
The medication management record identifies medication management tasks delegated to unlicensed personnel, when applicable.				
The plan includes instructions for notifying the registered nurse (RN) or other appropriate licensed health professional when medication-related concerns arise.				
The plan includes procedures to ensure medications are administered as prescribed.				
The plan includes monitoring for medication effectiveness, complications, side effects, and adverse reactions.				
The plan reflects the current medication needs and services of the individual served.				
The plan was updated following medication changes, when applicable.				
Medication reconciliation was completed when required.				

Individual Record Review - Prescriptions and Orders



High-Risk Survey Area

Deficiencies in this area are commonly cited during surveys and may affect health and safety. Review carefully.

Review the individual's record to verify required prescriptions, medication orders, and related documentation are complete, current, and accurately maintained.

While many medication orders are now transmitted electronically, staff should continue to follow established procedures for verbal orders, including repeating the order back to the prescribing clinician to verify accuracy before documentation and implementation.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
A current, valid prescription is maintained for each medication managed by the provider.				
Medication orders match the medication administration record (MAR).				
Medication orders are renewed at least every 12 months or within required timeframes.				
Current orders are maintained for all controlled substances, when applicable.				
Verbal orders are accepted only by authorized staff, as permitted by policy and regulation.				
Verbal orders are documented and authenticated according to provider policy and applicable requirements.				
Written and electronic orders are incorporated into the individual's record in a timely manner.				
Changes to medication orders are reflected in the MAR without unnecessary delay.				

Individual Record Review - Self-Administration of Medications

Review the resident record to verify required assessments, plans, orders, and documentation are complete and current. Mark “Compliant” if documentation supports the requirement. Mark “Needs Attention” if documentation is missing, incomplete, outdated, or inconsistent.

Audit Question	Compliant	Needs Attention	Not Applicable	Notes
The assessment supports the individual’s ability to self-administer medications.				
The individual’s current ability to self-administer medications is documented.				
Any assistance needed to support self-administration is identified and documented.				
Medication storage arrangements support safe self-administration.				
Medication storage arrangements prevent access by other residents.				
Medication storage arrangements protect medications from unauthorized access, loss, diversion, or theft.				
Changes in the individual’s ability to self-administer medications trigger reassessment and documentation.				

Individual Record Review - Medication Setup and Administration Documentation

Review the individual's record to verify medication setup activities are documented as required.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Medication Setup				
Medication setup is documented at the time the medication is prepared.				
The date of medication setup is documented.				
The medication name is documented.				
The medication quantity and dose is documented.				
The administration time is documented.				
The route of administration is documented.				
The name or signature of the person completing the medication setup is documented.				
Medication Administration Documentation				
The date the medication is administered.				
The name of the medication administered.				
The dose and quantity of the medication administered				
The time the medication is administered.				
The method by which the medication is administered.				
The route by which the medication is administered.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Signature or initials of the person administering the medication.				
Title/credential of the person administering the medication.				
Reason for non-administration is documented, when applicable.				
Follow-up actions are documented when medications are missed, refused, withheld, or otherwise not administered as prescribed.				
<i>Pro re nata</i> (PRN) (as needed) medication administration and required follow-up are documented, when applicable.				

Observation Review - Medication Administration Practices



High-Risk Survey Area

Deficiencies in this area are commonly cited during surveys and may affect resident health and safety. Review carefully.

Review medication administration practices and related documentation, when applicable.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Medications are administered according to prescriber orders.				
The correct individual receives the medication.				
The correct medication is administered.				
The correct dose is administered.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
The medication is administered at the correct time.				
The medication is administered by the correct route.				

Observation Review - Medication Storage and Security Practices



High-Risk Survey Area

Deficiencies in this area are commonly cited during surveys and may affect resident health and safety. Review carefully.

Review staff practices, medication storage areas, and related documentation.

Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Prescription medications are stored in locked compartments or secured storage areas.				
Access to medications is limited to authorized individuals.				
Medications are stored according to manufacturer requirements.				
Medication storage arrangements prevent unauthorized access.				
Medications are protected from visitor or staff theft, diversion, or tampering.				
Refrigerated medications are maintained within required temperature ranges.				
Refrigerator temperature logs are completed and reviewed according to policy.				

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Audit Item	Compliant	Needs Attention	Not Applicable	Notes
Medication labels are legible and complete.				
Original prescription labels are present when required.				
Expired medications have been removed from active stock and are properly segregated for disposal.				
Controlled substances are properly secured.				
Medications are used only for the individual for whom they were prescribed.				
Medications requiring dating after opening, reconstitution, or expiration tracking are dated according to manufacturer instructions and provider policy.				

This material was prepared by Stratis Health under contract with the Minnesota Department of Health (MDH). Use of this tool is not mandated by MDH, nor does its completion ensure regulatory compliance.