

COUNTY OF HUMBOLDT
DEPARTMENT OF HEALTH AND HUMAN SERVICES
BEHAVIORAL HEALTH

POLICY NO. : 0704.370	POLICY TITLE: Quality Management Chart Review	EFFECTIVE DATE: 7/1/2014
PROGRAM:	PMU/QI	REVISION DATES: 6/17/16, 6/8/17, 10/27/17, 1/8/18, 7/25/18, 8/20/18
AFFECTS:	BEHAVIORAL HEALTH & SUBSTANCE USE DISORDER PROGRAMS	REVIEW DATES:

POLICY Humboldt County Department of Health and Human Services-Behavioral Health (DHHS-BH) ensures contractual compliance with California Department of Health Care Services by conducting monitoring activities of Specialty Mental Health Service delivery to beneficiaries.

DEFINITION(S) None

PROCEDURE

1. Outpatient
 - 1.1. During the first week of every month, the Quality Improvement Analyst will randomly select 10 (ten) Adults charts, 5 (five) Children, Youth, & Family Service (CF&S) charts, 5 (five) Organizational Provider charts and 10 (ten) Substance Use Disorder (SUD) Program charts for review (total of 30 (thirty) charts).
 - 1.1.1 The QI Analyst will print up a list of the last 30 (thirty) days of billings that were submitted for each of these charts.
 - 1.2. Chart reviews occur on the second Friday of each month.
 - 1.3. The QI Analyst will send out email notices to the Organizational Providers (Org-Providers) whose charts have been selected for review with instructions to have the charts delivered and logged in at the QI Unit the day prior to the review.
 - 1.3.1 QI Staff will enter the name, chart number, Program name, and name of person delivering the Org-Provider charts in a binder, and will log each Chart out when picked-up by the Provider.
 - 1.3.2 Org-Provider charts can be picked-up after 3:00 p.m. on the Friday of the review.
 - 1.4. The QI-Coordinator (QIC) (or the QI Analyst) will send out an email reminder to the Chart Review Team one week prior to the chart review date. Chart Review Team will consist of: Program Managers, Supervising Clinicians, QIC, QI Clinicians and QI Nurses.
 - 1.5. The QI Chart Review Team will securely transport the Org-Provider charts and complete list of charts to be reviewed to the Chart Review location the morning of the Chart Review. Adult and CFS charts are available in Avatar.
 - 1.6. The Chart Review Team will review as many selected charts as possible during the review session.
 - 1.6.1. The chart review team will use the [QI-76 Chart Review Form](#) when reviewing Outpatient Specialty Mental Health Services. This includes internal DHHS-BH charts and charts from Organizational Providers.

COUNTY OF HUMBOLDT
DEPARTMENT OF HEALTH AND HUMAN SERVICES
BEHAVIORAL HEALTH

- 1.6.2. The chart review team will use the [QI-116 Chart Review Social Rehabilitation Programs Form](#) when completing a chart audit on Social Rehabilitation Services (ie. Pathways).
 - 1.6.3. Both of the aforementioned chart review tools include a set of documentation requirements in a checklist format which allows for comments from the reviewer.
 - 1.7. The QIC, or delegate, will review all completed Chart Review Forms ([QI-76](#) and [QI-116](#)) to determine if a [QI 86 Corrective Action](#) (CA) form is required. When a CA is required, the QIC will complete the form with specific instructions for corrections.
 - 1.7.1. The QI Vocational Assistant (VA) will generate a CA form tracking number to enter on the [QI 86 Corrective Action](#) form.
 - 1.8. Following the Chart Review session, the QI VA will enter the results of the [Chart Review](#) forms in the Chart Review Tally spreadsheet located at: [DHHS-Files\MCO\QUALITY ASSURANCE & UTILIZATION REVIEW\OP Chart Reviews](#).
 - 1.8.1 QI VA will scan the [Chart Review](#) forms that do not have CAs and save the originals to the same location on the DHHS-Files.
 - 1.9. Following the entry of the results of the review, QI Staff will send copies of the [Chart Review](#) forms with their accompanying CA form (if any) to the Supervisor of the Program where the chart is open to Services for staff discussion or corrective action. CAs are due back to QI within seven business days from receipt.
 - 1.9.1 The QI Staff will place a copy of the QI 76 or QI 116, along with the QI 86 when appropriate, in the reviewed chart for return to Organizational Providers.
 - 1.9.2 The QI Staff will provide the Supervisor and Clinician with feedback even when CAs are not required for internal charts reviewed.
 - 1.10. Upon return of the CA forms with proof of correction from the Program staff, the QIC will make a determination if disallowances are required.
 - 1.10.1 If disallowances are indicated, a Managed Care Organization (MCO) [MCO Disallowance Form](#) will be generated to reverse billings.
 - 1.10.2 The [MCO Disallowance Form](#) will be forwarded to Claims Data Management as well as to the provider.
 - 1.11. The QI VA will enter all updated information in the Chart Review Tally spreadsheet, and scan the final completed corrective action form with supporting documents to the proper folder at: [DHHS-Files\MCO\QUALITY ASSURANCE & UTILIZATION REVIEW\OP Chart Reviews](#).
 - 1.12. Results of Charts Reviews will be reported quarterly at Outpatient Continuous Quality Improvement (CQI) meeting.
 2. Inpatient (Sempervirens)
 - 2.1. QI currently selects 18 charts quarterly (this is 10% of the SV inpatient census [This number is not changed frequently but only after the SV CQI committee recommends it when there has been a consistent increase or decrease in the monthly SV census numbers.] and notifies Director of Nursing and Supervising Social Worker of the selection and the date their report is due for Inpatient CQI quarterly meeting.
 - 2.2. QI Review Nurse reviews physician documentation.
 - 2.3. Indicators are monitored based on QI Committee selection and State and Federal guidelines.
 - 2.4. Each service reporting person is responsible for the review, written report and verbal report at the Inpatient CQI meeting, or for sending a designee to present the oral report.
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COUNTY OF HUMBOLDT
DEPARTMENT OF HEALTH AND HUMAN SERVICES
BEHAVIORAL HEALTH

- 2.5. A copy of the three reports should be given to the QI staff for storage in the Inpatient CQI binder.
3. Crisis Stabilization Unit (CSU)
 - 3.1. Every month five of the CSU client charts will be reviewed
 - 3.2. (The reviewed charts, randomly selected by QI staff, will include a variety sample of services, including 5150s, voluntary clients, minors, and transfers.
 - 3.3. The sample of reviewed charts will be reviewed for three sections: the nursing documentation will be reviewed by the CSU supervising nurse with form QI 65, the social work documentation will be reviewed by the CSU social work supervisor with form QI 66, and the psychiatric prescriber documents will be reviewed by QI staff with form QI 64.
 - 3.4. When compliance is 90% or greater, per Indicator, per quarter, that Indicator may no longer be monitored.
 - 3.5. A decision to drop or add an indicator(s) will be decided by the Quality Improvement Unit, and details regarding that decision will be presented at the Outpatient Quality Improvement Committee meeting.
 - 3.6. The results of the review will be reported at the Outpatient CQI meetings quarterly.
4. Day Treatment
 - 4.1. All Day Treatment services charts will be reviewed during each re-authorization period by the authorizing clinician using [QI-106 Chart Review Tool for Day Treatment](#).
 - 4.2. The authorizing clinician will forward the completed form to QI for additionally review and corrective action if needed.
 - 4.3. QI will track all chart review audit results.
5. Substance Use Disorder
 - 5.1. As 100% of the SUD charts are already reviewed by the program already, the charts determined by QI to be reviewed will not be reviewed again if they have been reviewed within 60 days. Instead, the already completed QI 77 SUD Chart Review sheets will be forward to QI for the dashboard

Forms

[QI 76 Chart Review Form](#)
[QI-116 Chart Review Social Rehabilitation Programs Form](#)
[QI 77 SUD Chart Review Sheet](#)
[QI 86 Corrective Action](#)
[QI-104 SUD Corrective Action](#)
[QI 49 MCO Disallowance Form](#)
[QI-2 SV CQI Indicators for MDs Form](#)
[QI-3 SV CQI Indicators for MDs Quarterly Summation form](#)
[QI-96 SV RN Documentation Monitoring form](#)
[QI-97 SV Social Worker Documentation Monitoring form](#)
[QI-64 CSU Psychiatric Prescriber Monitoring form](#)
[QI-65 CSU Nursing Documentation Monitoring form](#)
[QI-66 CSU Social Worker Documentation Monitoring form](#)
[QI-106 Chart Review Tool for Day Treatment](#)

REFERENCE

[CCR Title 9, Div. 1, sec 1810.440](#)
[MHP Contract with DHCS 2013-2018](#)
[42 CFR Sections 482.61, 482.62, 489.20, 489.24](#)
[CCR Title 28, Div. 1, Chapter 2, Art. 8, Section 1300.70](#)
[CWIC Section 5150 CA Codes \(wic:5150-5157\)](#)
