

Supervisory Chart Review

QA Chart Reviews at ARCS

8/1/07

Supervisory Chart Reviews

- What do you look at when conducting a chart review?
- How do you go about your chart review in your agency?
 - Practices
- How do you communicate results?
 - Is the chart used in supervisory sessions?
 - How do staff accept your observations/recommendations?
- Is there a peer review process? How does it work?
- What are your biggest challenges?
 - Values
 - Perceptions

ARCS

AIDS Related Community Services

- Community based services provided to people with HIV/AIDS in the Hudson Valley (Westchester, Rockland, Orange, Sullivan, Ulster, Dutchess, and Putnam).
- Case management for over 300 clients, over 50% are in the Cobra program.
- Other services include: Jails Services Program, Mental Health, THRIVES Nutrition Program, Chemical Dependency Specialist Program, Support Groups.
- 6 Supervisors, 2 Asst. Supervisors, 2 Asst Directors, One CQI Manager, and one Director of CS.

CQI Goals

- Support quality improvement in client services
- Evaluate, identify areas for improvement and make recommendations for change
- Communicate results and initiatives
- Monitor that action plans are completed
- Include all stake holders in the process

CQI Activities

- Periodic “QA” Program Review- Standards Compliance Check
- Case Management Outcomes Surveys
- Client Satisfaction Survey
- Staff Training Survey
- CQI Quality Improvement Projects- Committee Planning for Tests for Change
- Peer, Supervisory, and Client Reviews



Chart Review- What do we look for?

- Adherence to AI standards- we use a checklist
- Content quality, as well as, items filed
 - Goal writing, timeliness, clarity, and thoroughness of reassessments, desired outcomes defined, care coordination with other providers, medical updates, etc.
- Outcomes- Our chart review includes a snapshot of two outcomes
 - (for example: Med. Appt. compliance, MH service referral when needed).
- Trends (for one or more case management programs)
- New challenges facing staff (medical provider changes)
- Appropriate and timely follow up
- Proactive planning

Practices: Chart Review

- Annual plan: Specific dates set monthly
- Sample chosen randomly, with consideration for new charts and charts not reviewed in awhile
- Standard checklist is used for each chart. Checklist is designed from specific requirements and past weak areas.
- Supervisor, case team (including the filer) are informed of visit 1 to 3 weeks in advance
- 20% of each case load, every 4-6 months
 - (Case managers with great charts receive less frequent QA reviews).

Practices...

- Be cordial to all staff present
- Provide general feedback at end of visit, as desired.
- Results are noted for each chart reviewed, and summarized in a report to supervisor, with cc to executive director; completed in a week or so.
- An action plan is required in response to QA summary. The supervisor completes it with the case manager.
- Individual charts are corrected within 60 days. Corrections are documented on the individual chart checklists.
- Reward good QA results: -noted in staff evaluation and -Great results are recognized by executive staff,
- Supervisory and disciplinary action might follow in some cases involving job performance.

Values

- Continuous Quality Improvement
- Assumption: The case managers are conscientious and hard working professionals.
- The QA review provides another “pair of eyes” to help staff document effectively for an “outside” reader.
- QA is a learning process and offers the chance for
 - skill development,
 - program enhancement,
 - improved service delivery, as well as,
 - preparation for cobra audit reviews.

Chart Review Attitudes that “might come up”

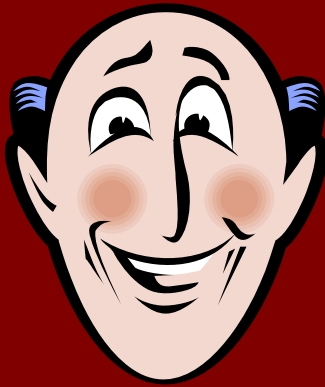


- Preconceived ideas
- Fear of failure
- Nobody likes criticism



- Desire of control, sense of territory invasion
- Resentment
- General annoyance, waste of time

How to Encourage Chart Review Acceptance



Keys

- Staff orientation to the process and purpose
- Consistency: Be fair and accurate.
- Complete reviews in a routine manner.
- Reviews are part of the process of quality improvement, (...and it's a requirement we live with).
- Praise the good stuff
- Offer solutions
- Be Factual, clearly note what needs to be addressed
- Limit repetition
- Reward excellence with recognition –celebrate successes
- Recognize effort, and explain how the suggestions will help to better communicate all the work being done for the clients.
- Remind staff that Quality Improvement is a continuous process, always one more step could be found to take.
- If you're not sure about something you are asked, don't pretend to know, just say you will check into it and get back to them

Main Challenges

- Conduct thorough and helpful reviews
- Staff attitudes
- Apply specific corrections to all charts
- Refrain from jumping to conclusions, get the facts
- Create a supportive environment
- Keep chart checklist up to date with AI requirements
- Communicate findings

Practices

- Emphasize supportive role of QA, continuous quality improvement (Announce check at least a week in advance)
- QA is an arm of the supervisor and is a supportive function completed on a routine basis. No need to panic if you've been trying to do your job.
- Use checklist to ensure thoroughness and fairness. (Keep blank checklists available for staff to review).
- Communicate findings and expected follow-up (Summarize findings and recommendations).
- Share with supervisors, case managers and team, as appropriate.
- We note the ratio of charts with a particular item in place vs. not in place. For example, in the sample reviewed, 4 of 5 charts had current service plans, one CSP is in the process of completion...
- Check that follow-up has been carried out (Document action plan and completion).
- When necessary, deliver a sense of urgency, but don't rant and vent
- Do preaudit check lists

Possible QA Results

- List of documents completed/incomplete
- Documentation doesn't reflect work completed.
- Staff don't know what to do, or need to do it correctly
- Staff are not getting things done
- Difficulty engaging clients
- Focus on crisis vs. proactive planning
- Need to update as significant changes come to light
- Consistent status and needs reporting from one document to the next.
- Flow of Information from one reassessment to the next
- Client's needs are not being addresses sufficiently in current service plan or implementation

Recommendations may include:

- Staff Training
 - Goal writing, contact notes, etc.
- Staff Reminders
 - Fill in all sections, etc...
 - Document efforts to contact client...
- Time Management training and support
 - Tracking sheets periodically reviewed in supervisory sessions
- Discussion of specific client strategies
 - Priorities for the client, possible referrals to consider

- That is an overview of the supervisory chart review process at ARCS.
- For additional information, please contact: Lynn Reno, CQI Manager
ARCS at 845-791-8871 ext. 14
reno@arcs.org