

	Title: Chart Audits	Version: 1
	Owner: Tamara Kessler (VP and Corporate Counsel)	Approved: 03/17/2017

Purpose: To verify the accuracy of services provided vs services bill to prevent, detect and correct fraud, waste and abuse and to review and verify the completeness of charts and records in accordance with applicable rules and regulations.

Responsibility: QI Committee

Scope: Advantage Dental Services, LLC

Policy:

It will be the process of the DCO to complete random monthly chart audits on any provider who treats the DCO's enrollees. The DCO will run a report that will choose 10% of the enrollees where a claim was received in the previous month.

It will also be the process to do an additional random chart audit of each Primary Care Dentist (PCD) annually that was not audited under the chart audit process described above.

The DCO will request the complete chart for the enrollee from the provider who submitted the claim. The chart will be sent to the DCO from the provider within 10 business days of the date on the letter requesting the chart.

The provider's chart will be audited for the following information. It will be scored a 1 if the chart is complete in that category or a 0 if it does not meet the criteria set by the DCO.

Items Audited in Chart Audit Review:

1. Services documented in the chart are compared to the services billed to the DCO, including:
 - a. Procedure Code
 - b. Date of Service
 - c. Tooth Number
 - d. Surfaces
 - e. Treating Provider
2. Agreement to Pay Form in the chart for any non-covered services billed to the enrollee.
3. If a No Show is documented in the chart, confirmation that it has also been reported to the DCO.
4. The chart is reviewed for completeness which includes the following:
 - a. enrollee's name and address;
 - b. If a minor, include name of custodial parent/legal guardian;
 - c. enrollee's gender;
 - d. enrollee's date of birth;
 - e. enrollee's emergency contact;
 - f. enrollee's phone number;
 - g. Date and description of examination and diagnosis;
 - h. Date and description of treatment or services rendered;
 - i. Date and description of treatment complications;
 - j. Date and description of all radiographs, study models, and periodontal charting;
 - k. Health history (including review on visit dates);

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- l. Date, name of, quantity of, and strength of all drugs dispensed, administered or prescribed;
- m. Signed consent forms;
- n. Chart notes are legible;
- o. Procedures, Alternatives, Risks and Questions (PARQ) documented on each visit;
- p. Preventative treatment plan included;
- q. Signed and dated HIPAA form;
- r. Tobacco counseling documented if use is indicated;
- s. Ledger compared to Treatment History;
- t. Full chart received by the DCO within the time allowed;
- u. Clinical Determination Appropriate;
- v. Enough Information within the Chart to Make the Clinical Determination; and
- w. Number of days between the date enrollee was seen by provider and the date a pre-authorization/referral was entered into ADIN.

Once the chart has been audited by the DCO, a letter showing the findings of the audit will be sent to the provider with a copy saved in the DCO's chart audit file.

If after receiving this letter, the provider feels their documentation was misinterpreted the provider can request a second level review of his documentation to support that the criteria was met. This request can be submitted to Case Management specifying what was misrepresented and why the provider feels the criteria is met. Case Management will then submit this information for review to the President, CEO, VP of Dental Services and/or Dental Director. If the reviewer determines the criteria is met, an amended letter will be sent to the provider showing the findings and additional training may be provided to the first level reviewer.

At the discretion of the President, CEO, VP of Dental Services, and/or Dental Director, the provider will be given training by the DCO or will be required to attend a Records Keeping course, as offered by the State Board of Dentistry, depending on the severity of the audit findings.

Approvals:

Date: 03/17/2017

Approved by:

Cheryl Barker (Executive Assistant), Jeanne Dysert (Chief Operating Officer), Melissa Mitchell (Director of Production), Tamara Kessler (VP and Corporate Counsel), Chief Operating Officer, Director of Production, Executive Assistant, VP and Corporate Counsel, Executive, Legal, Operations, Production

Reviewed and Revised

05/02/2014	Jeanne Dysert	Tamara Kessler	Missy Mitchell	Laura Donadio
02/23/2015	Jeanne Dysert	Tamara Kessler	Missy Mitchell	Laura Donadio
07/02/2015	Jeanne Dysert	Tamara Kessler	Missy Mitchell	
02/23/2016	Jeanne Dysert	Tamara Kessler	Missy Mitchell	Jeff Dover
07/11/2016	Jeanne Dysert	Missy Mitchell		
02/14/2017	Jeanne Dysert	Tamara Kessler	Missy Mitchell	