



## Chart Audit Protocol

In year 4, ECHO will conduct chart audits at each of the 15 SPNS funded oral health initiative sites. The focus of the audit is to verify that the work being performed and documented in the patient chart is reflected in the ECHO database. These data will consist of all CDT codes, documentation of a treatment plan, documentation of a completed treatment plan if applicable and documentation of chart lab values (CD4 and viral load) from the past 12 months.

### Procedure:

1. Each site will be contacted by an ECHO dental consultant to discuss the chart audit and schedule a date to conduct the audit. After the date is set, the site will have 2 – 4 weeks to audit and update all their multi-site evaluation patient charts to ensure that all outstanding utilization data has been entered and the charts are in appropriate order.
2. 1 week prior to the site visit, ECHO will randomly select 10% or 20 charts of the sites ECHO ID numbers (whichever is larger) and send these patient ID numbers to the site. At this point, the site will stop entering all data until after the chart audit.
3. ECHO will create the chart audit tool for the dental consultant to document their findings. (sample tool attached) The ECHO dental consultant will conduct the chart audit with one of the site staff on the agreed upon date.
4. After the audit is completed, the site will make a copy of the audit tool for their records and the consultant will take the original with them to be sent to ECHO.
5. The site will have one week from the audit date to resolve the issues identified and documented by the consultant during the chart audit. The ECHO utilization data and the chart data must be reconciled by entering missing data into the chart and the ECHO database as necessary.
6. The site will have one month to conduct an internal chart audit of all their multi-site evaluation patients to verify that the utilization data has been accurately entered and matches the data recorded in the patient chart. After the internal chart audit is complete, ECHO will conduct a call with the site and the dental consultant. The site will be asked to report back to ECHO on their findings and their plan to correct missing or inaccurate data.
7. ECHO will work with the site to create a plan for entering utilization data (both who and when) in the future, if necessary.
8. The site PI will conduct spot audits quarterly of 10% of the multi-site patient charts to verify that the chart and ECHO utilization data are accurate and complete and report their findings as well as the methodology for determining which charts they audited to ECHO.