

Policy & Procedure Manual

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## CHART AUDITING – RR-I-12

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**POLICY:**

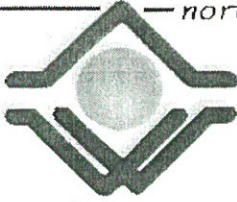
Records shall conduct chart audits reviews of all residential casebooks.

**PURPOSE:**

To ensure that accurate and timely records are maintained on each client as well as to ensure that charting practices are in accordance with established policies and procedures.

**PROCEDURE:**

1. The Records and Clerical Assistant shall review all residential casebooks and identify deficiencies in accordance with Policy R-I-10 Documentation – Casebook Charting per Appendix A.
2. All locations in the Northward will be reviewed in July for a one year period and all locations in the Southward (including Murillo) will be reviewed in January for a one year period.
3. Prior to commencing the casebook audit Records shall contact all Residential Supervisors to advise them that an audit will be taking place and to arrange an appropriate time to visit their homes. It is the Supervisor's responsibility to communicate this information to the location.
4. Once all casebooks have been audited and the deficiencies input into the Chart Audit database, Individual Charter Deficiency Lists, Summary by Location and an Executive Report will be prepared.
5. The Location audit summaries will be forwarded to each Residential Supervisor identifying the residential location, the charters name and a summary of the errors related the to Appendix A Categories. The Individual Charter Deficiency Lists will be forwarded to the appropriate charters by the Records and Clerical Assistant. An overall summary report will be prepared for the Director-Client Services, Finance Manager and Executive Director.



6. Each Individual Chart Audit Report will have a due date six weeks from the distribution date printed in **bold** print. It is the individual charter's responsibility to ensure that their summaries are **returned to Records on or before the date specified**.
7. As the Individual Charter Deficiency Lists are returned to Records, they will be date stamped and the Chart Audit database will be updated to reflect the receipt of the summary.
8. Following the due date a listing shall be generated of overdue reports. The Records and Clerical Assistant will follow up overdue reports with each individual charter. If the report remains outstanding one week after being contacted, a memo will then be sent to the Residential Supervisor for follow up with the employee.
9. An overdue listing will be generated and forwarded to the Executive Director for those reports outstanding as of three months following the end of the period covered by the audit.

**RECOMMENDED BY:** Manager of Finance

**APPENDICES:** 1

**OPERATIONAL ACCOUNTABILITY:** Administration, Finance, Client Services  
Administration, Client Services

**ORIGINAL POLICY DATE:** October 1995

**AUTHORIZED BY:** Executive Director

**SIGNATURE:**

CHART AUDIT CATEGORIES

CATEGORY	SUB CATEGORY
ERROR CORRECTIONS	Letter or Number Written Over Letter or Number Scribbled Out Error Not Initialed Line Missing Word Obliterated Word/Line Erased
LATE NOTE ENTRY	Time Note Actually Written Missing Actual Date/Time of Note Missing Date of Late Note Incorrect "Late Note For" Missing
DATE/TIME MISSING	Date of Note Missing Time of Note Missing Time not In 2400 Hours Both Date/Time Missing Month Not Alphabetic Date/Time Missing From Cont'd Note Date and/or Time Difference – Cont'd Note
CONT'D MISSING	Continued Missing – Top of Next Page Continued Missing – Bottom of Previous Page
SIGNATURE(S) MISSING	Note Not Signed Off Cont'd Note Not Signed Off – Previous Page Cont'd Note Not Signed Off – Next Page
NOTES OUT OF SEQUENCE	Note Out of Date Order Note Out of Time Order Time Incorrect (eg: 2405 – 0005)
MED/TX SIGNATURE SHEET	Signature Missing
NOTE MISSING	Monthly Summary Missing Supervisory Monthly Note Missing Follow-up Notes Missing – Illness
USE OF 3 <sup>RD</sup> PARTY ID	Incorrect Use of 3 <sup>rd</sup> Party ID
NOTE NOT IN INK	
NOTE IN WRONG SECTION	
PRN MED/TX NOTES	Med/Tx Type Not Indicated # of Mgs or Strength Not Indicated Follow-up Note Missing Reason for PRN Not Indicated Original PRN Note Missing

