

ALTSA Nurse Delegation QA: File Audit

The Performance of ALTSA contracted Nurse Delegators is monitored using individual client files, which are audited by the Nurse Delegation Program Manager and Nursing Services Contracts Monitor (ALTSA). The process for auditing client files is based on the following:

1. Each contracted Nurse Delegator will have a contract audit completed a minimum of one time per 4-year contract cycle.
2. The objective of the audit is to reach 100% of the Nurse Delegators contracted with ALTSA to ensure compliance with state regulations as they pertain to the ALTSA Nurse Delegation contract and improve program performance.
3. Contractors will be scheduled for an audit randomly within the four-year contract cycle.
4. Individual client files will be used to Audit each Nurse.
 - a. A standard random selection process will be utilized based on the following scenarios:
 - i. Standard Selection:
 1. For Nurses with 4 or less clients, **one file** will be audited for compliance.
 2. For Nurses with between 5 and 25 clients, **two files** will be audited for compliance.
 3. For Nurses with between 26 and 49 clients, **three files** will be audited for compliance.
 4. For Nurses with 50 and 99 clients, **four files** will be audited for compliance.
 5. For Nurses with 100 or more clients, **five files** will be audited for compliance.
 - b. The file audit may include clients supported by ALTSA and/or DDA.
5. A Nurse may also be selected for a Triggered File Audit.
 - a. Possible Criteria for a Triggered File Audit:
 - i. Formal complaint to ALTSA, DDA or other State Entity.
 - ii. Unusual billing related to number of units and frequency.
6. If a Nurse is identified to have not been authorized for Nurse Delegation services within the past 6 months of their audit month, the Audit will review non-client specific questions as located in the auditing tool.



7. From the set of client files randomly selected, a Long Term Care Worker (LTCW) will be interviewed by phone with a standardized set of questions. The purpose of the interview is to monitor the quality and regularity of the Nurse's work based on the LTCW rules of Nurse Delegation.
8. A standardized letter will be e-mailed to each of the selected Nurse Delegators requesting one years' worth of documentation for each randomly selected client.
 - a. The contracted Nurse will be given instructions to submit the requested documents via e-mail to RNDcontractmonitoring@dshs.wa.gov .
 - b. The contracted Nurse will have 14-calendar days to submit the requested documents to the program.
 - i. If the requested documents are not received by the timeframe listed on the standardized letter (14-calendar days), a phone call/e-mail will be made by the Nurse Delegation Program Manager or Nursing Services Contracts Monitor to confirm receipt of the letter and set a 7-calendar day limit to receive the requested documentation.
 - ii. If the requested documents have not been received within the second timeframe (7-calendar days), a certified letter requesting the documents will be mailed to the contracted nurse. The certified letter will set a 7-calendar day limit for documents to be received and if non-compliant with the third attempt, the Nurse will be subject to Contract Action.
9. One of two standardized letters will be e-mailed to the contracted Nurse within 30 days of receipt of the client files (**Deficiency Free** or **Results and Follow-Up Needed**)
 - a. The **Results and Follow-Up Needed** letter will include the list of deficiencies per client.
10. The contracted Nurse will have 14-calendar days to submit a Corrective Action Plan (CAP) addressing how the Nurse will alter their future practice to correct any noted Deficiencies.
11. The Nurse Delegation Program Manager and/or Nursing Services Contracts Monitor may request a consultation meeting with a contracted Nurse after the CAP is received.
12. The Nurse Delegation Program Manager and/or Nursing Services Contracts Monitor will respond to the Corrective Action Plan, and after the consultation meeting if applicable, with a formal letter indicating the Audit is complete.
13. Contracted Nurses may request a meeting with the Nurse Delegation Program Manager and/or Nursing Services Contracts Monitor at any time to discuss findings of the audit.
14. The Nurse Delegation Program Manager and Nursing Services Contracts Monitor will incorporate the findings of the client file audits into targeted trainings to be presented at least annually to the Nurse Delegators.

