

AL TSA Nurse Delegation QA: File Audit

AL TSA contracted Nurse Delegator's performance is monitored using individual client files, which are audited by the Nurse Delegation Program Managers (AL TSA). The process for auditing client files is based on the following:

1. Excel sheet of all contracted nurses will be used for the number of subjects to input into www.randomizer.org to randomly select nurses to be audited, per month based on the four year contract cycle.
 - A. The excel sheet and randomizer will be updated annually on the 12th month to ensure no duplicate nurses are audited when updated with new contracted Nurses.
 - B. Nurses must be contracted for a minimum of 12 months to qualify for auditing.
2. Individual client files for each Nurse Delegator will be randomly selected using www.randomizer.org.
 - A. Number of files selected is based on the below criteria.
 - B. An excel sheet will be obtained using SSRS billing program to put subjects into the randomizer.
3. A standard random selection process will be utilized unless a file is triggered based on the following scenarios:
 - B. Standard Selection:
 - a) For Nurses with <5 clients, **one file** will be audited for compliance.
 - b) For Nurses with >5 and <50 clients, **two files** will be audited for compliance.
 - c) For Nurses with >50 and <100 clients, **three files** will be audited for compliance.
 - d) For Nurses with >100 clients, **five files** will be audited for compliance.
 - C. Triggered files:
 - a) Formal complaint to CRU, RCS or CRM/CM
 - b) Billing more often than every 90 days
 - c) Billing of above average units

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4. A minimum of one file will be audited per Nurse (following the above table), per contract cycle.
5. The objective of the random sample audit is to reach 100% of the Nurse Delegates contracted with AL TSA to ensure compliance with state regulations as they pertain to the AL TSA Nurse Delegator contract.

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File audit process

1. Each contracted nurse will be assigned a month per contract cycle to be audited.
2. Client files are randomly selected using an excel random function.
3. The determined number of client files to be audited is based on the following criteria:
 - A. For nurses with <5 clients, **one file** will be audited
 - B. For nurses with >5 and <50 clients, **two files** will be audited
 - C. For nurses with >50 and <100 clients, **three files** will be audited
 - D. For nurses with >100 clients, **five files** will be audited
4. From the set of client files randomly selected above a minimum of one Long Term Care Worker (LTCW) for each client will be interviewed, either in person or 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.
5. A standardized letter will be 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 on how to submit requested documents to the Program Manager.
 - i. I.e. Mail, email or fax
 - B. The contracted nurse will have 14 working days to submit the requested documents to the designated Program Manager. The documentation may be requested up to 30 days prior to assigned audit month.
 - i. If the requested documents are not received by the timeframe listed on the standardized letter (14 working days), a phone call/email will be made by the designated Program Manager to confirm receipt of the letter and set a 7 working day limit to receive documentation.
 - ii. If the requested documents have not been received within the second timeframe (7 working days), a certified letter requesting the documents will be mailed to the contracted nurse. The certified letter will set a 7 working day time limit for documents to be obtained and if non-compliant with third attempt the nurse will be subject to contract action.
 - C. The standardized letter will contain a sample of the auditing tool to be used.

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6. In lieu of a desk review of the selected client files, the Nurse Delegation Program Manager may elect to perform an onsite review of the client file.
7. The Program Manager will audit the randomly selected client files using the auditing tool provided with the standardized letter.
8. One of two standardized letters will be mailed to the contracted nurse within 30 days of receipt of files (**Deficiency free** or **Results and follow up needed**).
9. The contracted nurse will have 14 working days to either disagree with any “No” finding or make corrections to the items listed in the Results and Recommendations letter, including how the finding will be remedied and any follow up actions needed.
10. The Program Manager will respond to plan of correction with one of two standardized letters within 30 working days of receipt (**Deficiency free** or **further review and meeting required**).
11. Contracted Nurses may also contact or request a meeting with a Program Manager at any time to discuss findings of the audit.
12. Program Managers will incorporate the findings of the client file audits into targeted training to be presented at least annually to the Nurse Delegators.

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Methodology:

1. Use of the following sources:
 - a. Use of the AL TSA contracted Registered Nurse Delegation log will be used to select nurses to be audited.
 - b. Value of subjects will be placed into www.randomizer.org to determine which subjects will be monitored, based on a random sample.

2. The sample size was obtained through:
 - a. Calculation of the total number of clients being served under an AL TSA Registered Nurse Delegation contract.
 - b. Total number of AL TSA contracted Registered Nurse Delegator's
 - c. Raosoft (<http://www.raosoft.com/samplesize.html>)
 - i. Sample equation:
 1. 8,000 clients utilizing Registered Nurse Delegator Services
 2. 225 Registered Nurses under DSHS contract
 3. Calculator: 8,000 clients (5% margin of error, 95% confidence rate) 367 client files should be audited.
 4. 367 files with 225 nurses= 1.6 files rounded to two files per nurse.

3. Chart audit distribution
 - a. For Nurses with <5 clients, **one file** will be audited for compliance.
 - b. For Nurses with >5 and <50 clients, **two files** will be audited for compliance.
 - c. For Nurses with >50 and <100 clients, **three files** will be audited for compliance.
 - d. For Nurses with >100 clients, **five files** will be audited for compliance.