

Behavioral Health Services Provider Treatment Record Review For Contracted Providers

Practitioner/Provider Name: _____

Date: _____

Medical Record Number: _____

Reviewer: _____

Review Question	Yes	NO	N/A	Comments/Clarification
For Intakes/Initial Assessments				
1. Is there a thorough assessment that includes identified problem, key symptoms, mental status, and risk?				Clinical formulation is complete, key symptoms identified in very specific focused way, connection to function is clear, and linkage of key psychosocial factors are included. Documentation is thorough enough to justify the reason provider arrived at both primary and secondary diagnosis.
2. Is substance use thoroughly assessed?				Documentation is thorough enough to support the assessment conclusions. A standardized tool, such as the AUDIT (adult alcohol use) or the DAST (adult drug use), or the CRAFFT (adolescent substance use) is recommended to assess substance use.
3. Is the current DSM Axis I-V documented and consistent with assessment?				All Five Axis must be included and must be supported in the body of the assessment. <u>List as many diagnoses as is present</u> —the diagnosis name must match the code description. Axis I: there must be Axis I diagnosis. If there are no diagnoses on Axis II, it should list “no diagnoses.” For Axis III, include only the most relevant medical history. For Axis IV, include both severity and type of stressor (i.e., severe, recent divorce). For Axis V, there should be a number associated with the GAF score.
4. Is there an initial treatment plan which includes relevant specific goals and appropriate interventions?				Treatment plan is present that documents goals and interventions relevant to the findings in the assessment. Goals focus on key target symptoms and connect it to function. Interventions are specific, clear, and behaviorally based. If substance use has been identified, is there a plan to address the needs in subsequent visits or referrals made?

**THIS FORM IS NOT TO BE PLACED IN THE PATIENT'S CHART OR
THE PRACTITIONER'S PERSONNEL FOLDER.**

Review Question	Yes	NO	N/A	Comments/Clarification
For Progress/Treatment Notes				
5. Is patient's response to treatment interventions documented?				Response to treatment is present and written in specific behavioral terms describing patient initiated and provider initiated actions.
6. Is patient's progress towards treatment goals documented?				Progress toward goals is documented. Progress is specific, clear, symptom focused with connection to function. If no progress, are reasons for lack of improvement clear and, when appropriate, a change in treatment recommended?
7. Are plans for follow-up treatment or discharge documented?				Plans are specific and clear including return visit interval.

For All Visits				
8. Are visit notes typed or written legibly in ink?				Can a third party read the documentation?
9. Did patients with identified risk factors (i.e. depression, alcohol/drug abuse, suicidal ideation), receive a risk assessment and appropriate treatment and/or referral to the appropriate level of care? (This may occur in the intake or during the course of treatment.)				Risk assessment is complete including key areas of ideation, plan, and intent as well as clinician assessment of risk. Next steps in treatment are clear and optimal for the patient and noted throughout treatment until risk has been alleviated.
10. Does the record reflect continuity and coordination of care with the primary care provider and other behavioral health treating providers?				This is related to all patients seen for care, not just those with medical issues. Is there, at a minimum, documentation that the primary care provider has been notified that the patient is in care with the provider? The communication should include the diagnoses and a brief treatment plan or strategy for the care. Is there documentation that provider has coordinated their treatment plan with other active mental health or chemical dependency treating providers? If not, is there documentation that the patient does not want providers notified?

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